

Site-level Assessment of Governance and Equity (SAGE) User's guide v1.1

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OVERVIEW

SAGE is a methodology for assessing the governance and equity of measures to conserve biodiversity and ecosystem services (BES), including protected and conserved areas (PCAs) and any associated measures to support conservation such as benefit sharing schemes. Using a multiple-choice questionnaire tailored to the context, the stakeholders and rightsholders themselves (actors for short) conduct the assessment.

SAGE has been developed for use with PCAs. SAGE can also be used with other area-based conservation measures (OECMs) and other forms of nature conservation and natural resource management that do not have biodiversity conservation as their primary objective. However, pilots in this context have only just begun and further adjustments may be needed for this application of SAGE.

SAGE has two objectives. The first is to enable site-level actors to improve the governance and equity of their conservation and related work to improve both social and conservation outcomes. The second is to generate information for actors at higher levels for management oversight, improving of governance of a system of PAs, national reporting (including reporting to the Convention on Biological Diversity), and for meeting quality standards for PCA management and governance such as the IUCN Green List.

SAGE assesses the quality of governance and equity using a framework of ten principles of effective and equitable governance which is based on the well-established IUCN framework of governance principles for protected areas. This IUCN framework also forms the basis of the Green List standard and SAGE is being used for Green List certification. In addition to the comprehensive version of SAGE which uses eight of the ten principles, there is a basic version which focuses on just the four core principles – respect for actors, participation of actors in decision-making, transparency and accountability, and benefit sharing (or negative impact mitigation where this is more significant than benefit sharing). This lighter version of SAGE is designed for use with other assessments such as PA management effectiveness assessment, and safeguard systems, where comprehensive coverage of governance issues may not be needed.

All versions of SAGE use the same multi-stakeholder, self-assessment process which has three phases – “preparation”, “assessment”, and “taking action”. Phases 1 and 2 are conducted over a period of 4-6 weeks and in the SAGE pilots to date the cost has been in the range USD 2-8000 depending on the cost of the facilitators and logistics, and the size and complexity of the site. The table on the following page summarises the SAGE process, main activities, a typical timeline, and key outputs of each step.

The third phase – taking action – is optional, aiming to boost the impact of SAGE at site level through communication of the SAGE results to a wider audience and supporting the planning, implementation and monitoring of some early actions to improve governance and equity. In terms of support provided by the SAGE convenor(s), this taking action phase could be as short as 12 months – just long enough for the key actors to plan and implement a few early actions to improve governance and equity that build confidence and help them to secure the financial and political support to continue. We strongly recommend that SAGE convenors make an up-front commitment to this limited support for action. Without it - even with the high level of actor engagement – SAGE may end up being just another study that had little impact.

SAGE is the work of a global team of conservation practitioners and researchers from a wide range of different organisations – see <https://www.iied.org/site-level-assessment-governance-equity-sage>. Drawing on the experience of the initial pilots in eight countries, this version of SAGE guide supports roll-out from October 2020 to sites in over 20 different countries. SAGE remains work in progress, and we welcome comments from users to assist us to further improve SAGE and adapt it to different needs and contexts.

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SAGE process – phases, main activities, typical timeline and outputs

Phases, steps and main activities		Timeline	Outputs
PHASE 1 - Preparation			
1.1	Introduction to SAGE <ul style="list-style-type: none"> Identify the lead and other facilitators training module 1 (Introduction) for convenors, facilitators, and key actors 	Week 1	Plan for steps 1.2 and 1.3
1.2	Stakeholder analysis	Week 2	Completed Stakeholder analysis
1.3	Site profile <ul style="list-style-type: none"> review relevant documents key informant interviews 	Week 2	Completed site profile
1.4	Assessment planning <ul style="list-style-type: none"> Plan for steps 2.2-2.4 Select and invite key actors to participate in steps 2.2 and 2.3 	Week 2	Detailed plan for steps 2.2-2.4 including logistics for meetings.
PHASE 2 - Assessment			
2.1	Facilitation skills training <ul style="list-style-type: none"> Train the facilitators Check and adapt SAGE questionnaire as needed 	Week 3 or 4	Competent facilitators. Finalised SAGE questionnaire
2.2	Assessment by actors	Week 3 or 4	Assessment reports from 3-6 actor groups using SAGE data template
2.3	Synthesis workshop	Week 3 or 4	Overall assessment report using the SAGE data template
2.4	Analysis and reporting <ul style="list-style-type: none"> Further analysis Draft basic report 	Week 4-6	Basic SAGE assessment report with a few graphics
PHASE 3 - Taking action			
3.1	Communication of results <ul style="list-style-type: none"> Meeting with key actors to develop a communications strategy/plan Produce and deliver communication methods and materials 	Month 3-4	Communications strategy/plan Communication materials People aware of SAGE results
3.2	Planning for action <ul style="list-style-type: none"> Engage existing planning processes of key actors as opportunities arise AND/OR Organise one day SAGE action planning 	Month 3- Month 3-4	Actions to improve governance/ equity include key actors' plans SAGE action plan
3.3	Support for action <ul style="list-style-type: none"> Generic governance and equity capacity building Provide technical and, if necessary, financial support tailored to site needs 	Month 3-	Increased knowledge and skills of Staff/members of key actor groups Support packages implemented
3.4	Monitoring progress <ul style="list-style-type: none"> Activities and outputs Governance outcomes 	Month 8- Month 14	Six monthly progress reports Year 1 progress report

GLOSSARY

Protected area (PA): A clearly defined geographical space, recognised, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values. (IUCN definition)

Conserved area (CA): Area-based measures that, regardless of recognition and dedication, and at times even regardless of explicit and conscious management practices, achieve de facto conservation and/or are in a positive conservation trend and likely to maintain it in the long term. (IUCN definition)

Other Effective Conservation Measure (OECM): A geographically defined area other than a Protected Area, which is governed and managed in ways that achieve positive and sustained long-term outcomes for the in situ conservation of biodiversity, with associated ecosystem functions and services and, where applicable, cultural, spiritual, socioeconomic, and other locally relevant values. (Definition adopted by the CBD)

Management is about actions taken to deliver the agreed objectives and strategies – what is being done and how. Key aspects of management in conservation include analysis of status and threats, planning, inputs needed, processes, outputs and conservation and social outcomes.

Governance is about which actors have the authority to decide objectives and strategies, how other actors influence these decisions, and how those with authority and responsibilities are held to account. Key aspects of governance in conservation include rights, mutual respect, participation, transparency and accountability, rule of law, dispute resolution, benefit sharing.

Good governance in conservation is governance that is effective (i.e. delivers its objectives) and also equitable (i.e. fair).

Equity in conservation has three dimension – recognition, procedure and distribution - and is largely determined by governance i.e. an equitable approach to rights, participation etc (see above).

Resilience in conservation is the capacity of the socio-ecological system to recover from shocks and stresses, including capacity to cope with the impacts, to proactively adapt to reduce the impacts, and to generate deep ongoing change that addresses the root causes of injustice, vulnerability and risk.

Social impact – the impact of a policy, programme, project, or other initiative that directly affects, positively or negatively, one or more aspects of human well-being. Positive social impacts are often called “benefits”. Negative social impacts are sometimes called “burdens” or “costs”.

Site-level actor: an organisation, social group or in some cases individual, located within or near the site that has a significant interest in the site’s biodiversity and/or ecosystem services and/or one or more activities to conserve them. In this context “actor” is short for stakeholders and rights-holders.

Convenor: The organisation, or group of organisations, that plan and organise the assessment and its logistics. Likely to be an actor and thus a participant in the process, and so should not be a facilitator.

Facilitator: a person who helps a group of people to work together better, understand their common objectives, and plan how to achieve these objectives, during meetings or discussions. In doing so, the facilitator remains "neutral", meaning he/she does not take a particular position in the discussion (Wikipedia). SAGE has one lead facilitator and 2-4 assistant facilitators.

Assessment participants: SAGE is a participatory assessment method where the participants are representatives of the significant actors (key actors for short) who take part in conducting the assessment.

I. INTRODUCTION

SAGE is a methodology for assessing the governance and equity of measures to conserve biodiversity and ecosystem services (BES), including protected and conserved areas (PCAs) and any associated measures to support conservation such as benefit sharing schemes. The assessment is based on a framework of 10 principles of effective and equitable governance that is based on the IUCN framework of governance principles for protected areas – see table 1. Using a questionnaire tailored to the context, the stakeholders and rightsholders themselves (actors for short) conduct the assessment.

SAGE has been developed for use with PCAs. Although it can be used with other area-based conservation measures (OECMs) and natural resource management that do not have biodiversity conservation as their main objective. However, pilots in this context have only just begun and further adjustments may be needed for this use of SAGE.

This guide describes SAGE version one which has been developed by the SAGE development team based on a prototype that was tested in pilots in eight countries over the period September to December 2019. This is a general guide. It provides the information needed to use SAGE in a variety of different contexts. More detailed, context-specific guidance, where needed, will be provided in a tailored virtual training course and supporting manual.

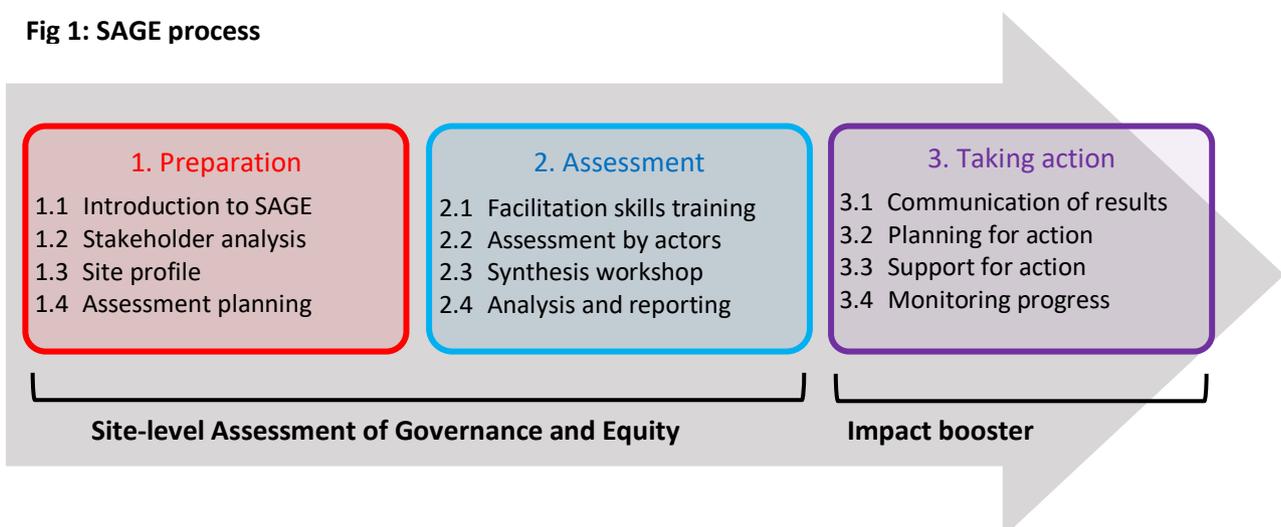
SAGE has two objectives. The first is to enable site-level actors to improve the governance and equity of their conservation and related work. The second is to generate information for actors at higher levels for management oversight, improving of governance of a system of protected areas (PAs), and national reporting.

This guide is for people who are organising an assessment (convenors) and people who will facilitate the process (facilitators). It begins with an overview of different

variants of SAGE. It then provides guidance for each step of the process (see fig 1). Phase 1 and 2 are the basic SAGE assessment. Phase 3 – taking action – is an add-on that boosts the impact of SAGE at site level.

- ❑ **Convenors:**
 - The organisation, or group of organisations, that plan and organise the assessment and its logistics.
 - Likely to be a stakeholder and thus a participant in the process, and so should not facilitate the assessment.
- ❑ **Facilitators:**
 - One lead facilitator – experienced in workshop facilitation with basic knowledge of governance but not necessarily a governance expert.
 - 2-4 assistant facilitators. Can be local people from the local area.
 - Should not be significant stakeholders.
- ❑ **Site-level actors** – organisations, social groups and in some cases individuals, within or near the site that have a significant interest in the site’s biodiversity and/or ecosystem services and/or one or more activities to conserve them. “Actors” means stakeholders and rights-holders.

Fig 1: SAGE process



II. OVERVIEW OF SAGE VARIANTS

To respond to different needs, we have four variants of SAGE version 1.0 which differ in terms of the scope of governance issues that are covered by the assessment, and the process by which the participants in the assessment complete the SAGE questionnaire.

The scope of governance and equity issues covered by SAGE depends on how many of the 10 governance and equity principles are to be used in the assessment – see table 1. For each principle, the SAGE questionnaire has one question that is largely a matter of fact and can be addressed by the facilitators based on literature review and interviews, and four questions addressed by the participants which are generally more a matter of opinion.

In terms of scope, there are two options – a “comprehensive version” with 8 principles (SAGE 8), and the “core version” (SAGE 4) with just four principles (those shaded in table 1). “SAGE 4” is designed for use as an add-on to a PA management effectiveness or social assessment which do not need to cover the full range of governance issues.

Table 1: SAGE governance and equity principles

Equity: recognition	1. Recognition and respect for the rights of all relevant actors
	2. Recognition and respect for all relevant actors and their knowledge
Equity: procedure	3. Full and effective participation of all relevant actors in decision-making
	4. Transparency, information sharing and accountability for actions and inactions
	5. Access to justice including effective dispute resolution processes
	6. Fair and effective law enforcement
Equity: distribution	7. Effective mitigation of negative impacts on communities
	8. Benefits equitably shared among relevant actors
Other governance	9. Achievement of conservation and other objectives
	10. Effective coordination and collaboration between actors, sectors and levels

Although there are 10 principles, we do not recommend using all 10 as the synthesis will take more than one full day and participants are likely to “burn out”. Furthermore, there may be more ownership if key actors can prioritise the issues, or conversely less reluctance to do a governance assessment if they can avoid an issue outside their comfort zone. A process to select the principles is described in section 1.4.

Although not ideal to have gaps, we believe that it is better to have an assessment with gaps than no assessment. That said, the four “core principles” without which SAGE could not be considered a credible tool for governance/equity assessment are: respect for actors, participation, transparency/accountability and benefit sharing. In the context of governance and equity, benefit-sharing refers to the type of benefit where the distribution can be controlled by those in authority, i.e. some people can be included and some excluded. Where there are no significant benefits of this type, the fourth core principle is negative impact mitigation - an issue of cost rather than benefit distribution.

For the process that participants use to complete the questionnaire there are also two options:

- A. Assessment by 3-6 groups of similar actors (“actor groups”) in a workshop setting OR
- B. Assessment by a survey of individuals from the 3-6 actor groups using an online survey tool (e.g. Survey Monkey), or a survey with enumerators for those not familiar with online surveys.

Key actors - actors, or groups of actors (e.g. conservation NGOs, resource users) with very similar interests, that have a medium or high level of interest in the site’s biodiversity and/or ecosystem services and activities designed to contribute to conservation.

Actor groups – 3-6 major categories of actors formed for the purposes of SAGE by grouping key actors with broadly similar interests, e.g. PA managers, local government, NGOs, private sector, community men and women.

TABLE 2: VARIANTS OF SAGE		Number of governance principles/questions	
		8/32	4/16
Assessment and synthesis process	A1 Assessment by 3-6 groups of the actors and then a synthesis workshop with all group members. Maximum 50 in total including facilitators and observers	SAGE 8/g	SAGE4/g
	A2 (reducing Covid-19 risk) As above but each actor group sends just 2-3 people to the synthesis workshop with a mandate to represent the group. Maximum 15, including 1 facilitator and any observers.		
	B1 Assessment by survey of 3-10 individuals sampled from each of the 3-6 actor groups and then a synthesis workshop with the same people. Maximum 45 in total.	SAGE 8/i	SAGE 4/i
	B2 (reducing Covid-19 risk). As above, but with only 2-3 people from each actor group invited to attend the synthesis workshop. Maximum 15 in total, including 1 facilitator and any observers.		

These main actor groups are typically managers of the protected/conserved area (PCA), local government, private sector, NGOs, and two community groups (e.g. men and women, Indigenous and non-indigenous people, people from different geographic areas). Groups with similar interests may be merged to avoid the total number exceeding six groups which would make the synthesis process difficult to manage, especially with the challenges presented by the Covid-19 pandemic.

It is possible for actors to do the assessment (step 2.2) without meeting in a workshop setting, but the synthesis (step 2.3), where the opinions of the different actors groups come together, needs to be a face-to-face workshop in order to enable interactive discussion, although, at most, only a one day workshop. However, while the Covid-10 pandemic continues, we propose a modified version that will reduce the number attending the synthesis workshop to no more than 15 people – see options A2 and B2.

III. SAGE PROCESS

Before starting the SAGE process, it is important to check the feasibility of using SAGE in the proposed site/area. There are four key conditions which must be fulfilled if a SAGE assessment is to produce reliable results and contribute to improving governance and equity in the site/area:

1. The management and governance systems of the area have been functioning for at least 2 years (i.e. the assessment is based on actual experience of these systems rather than hopes and fears).
2. A low risk of the assessment causing conflict between or within different groups of actors, for example revealing tensions that are unlikely to be resolved through the SAGE process.
3. All key actors are willing to fully engage in the assessment (phases 1 and 2), and are willing, in principle, to work together to implement some actions to improve governance and equity.
4. A lead facilitator is selected who is regarded by all actors as independent.

The following sections describe the 12 steps of the SAGE process – the four steps of preparation (phase 1) which are mostly facilitated by the convenor(s), the four steps of the actual assessment (phase 2) which are facilitated by the lead facilitator, and, lastly, the four steps of the optional “impact booster” (phase 3). Phases 1 and 2 are conducted over a period of 4-6 weeks (see the table in the overview section). In the SAGE pilots to date, the cost has been in the range USD 2-8000, depending on the cost of the facilitators and logistics, and the size and complexity of the site.

1. Preparation phase

1.1 Introduction to SAGE

An online virtual training module has been developed to provide a basic introduction to the topic of governance and equity and SAGE. It is designed for staff of the organisation(s) convening the assessment and representatives of key actors who will be involved in the assessment. It takes around 3.5 hours and covers:

- Why governance and equity are important
- Key concepts of governance, equity and their assessment
- Overview of SAGE assessment methodology (phase 1 - 3) and examples of results
- Review of SAGE timeline and next steps

1.2 Stakeholder/actor analysis

A good stakeholder analysis is essential to identify the different actors who should participate in the assessment. We use the term “actors” to include both stakeholders and rightsholders and so we will refer to it as an actor analysis. These actors will be organisations, social groups, and in some cases key individuals that have a significant interest in some aspect of the site’s biodiversity and/or ecosystem services and/or activities designed to contribute to their conservation (e.g. benefit sharing, research). Some, but not all, of these actors may have specific responsibilities (duty-bearers) and/or specific rights (rightsholders) under statutory and/or customary law.

The actor analysis can be facilitated by anyone with experience of a suitable method. It identifies important actors (organisations, formal or informal groups or individuals) that have significant interest in, and/or power to influence, conservation and other activities likely to affect conservation (e.g. benefit sharing, environmentally damaging activities, livelihood projects supporting conservation). It is important that the method also characterises the level of interest and influence and SAGE uses a four-point scale (0-3).

We use the term “key actors” to refer to all actors and groups of actors that have a medium or high level of interest that is supportive of conservation, or that could become supportive even if their activities currently have a negative impact. A multi-stakeholder process cannot engage all actors, but it should engage all “key actors” that have an interest in improving governance and equity of conservation. In other words, we must ensure that representatives of each of these “key actors” are invited to participate in the SAGE assessment.

The participants in a SAGE stakeholder/actor analysis should be people who, working together, will be able to identify all the significant actors, including customary (i.e. less formal) groups within communities that may not be visible to some actors. As a minimum, the SAGE convenors can lead the process working with just 2-3 key informants. However, there is a risk that such a small group may overlook a key actor and so, where possible, we recommend having around 10 participants including representatives of:

- PCA governance bodies at site level (if there are any):
- PCA management organisation(s) at site level
- Indigenous peoples and local communities, including women and young people:
- Local government departments with responsibilities related to relevant conservation, environmental management and development activities.
- Local, national or international NGOs that play an active and important role in relevant conservation and development activities and
- The private sector — such as a tourism, hunting, forestry or fishing business

Ideally this group will meet face-to-face with a white-board/flip chart and cards and the exercise normally takes around two hours. Where a face-to-face meeting is not feasible, it can be done virtually with a tool such as Mural which provides a virtual whiteboard and cards. Alternatively, the analysis can be done by the SAGE convenor based on key informant interviews (KIIs) with the representatives of the six actor groups listed above. Figure 2 shows the standard SAGE actor analysis template and an example of the output.

Figure 2: actor analysis template

Actor group	INTEREST in conservation, and other initiatives likely to positively or negatively affect conservation	Power to INFLUENCE conservation, and other initiatives likely to positively or negatively affect conservation
State Actors • •	*** = High, ** = med, * = low, or blank = no interest	*** = High, ** = med, * = low, or blank = no influence
Non-State Actors • •	*** = High, ** = med, * = low, or blank = no interest	*** = High, ** = med, * = low, or blank = no influence



The stakeholder/actor analysis proceeds as follows:

1. Start by introducing the purpose of the exercise. This is to identify important actors (organisations, formal or informal groups or individuals) that have significant interest in, or power to influence conservation and other activities likely to positively or negatively affect conservation (e.g. benefit sharing, environmentally damaging activities, livelihood projects designed to support conservation).
2. Start by identifying and listing state actors that have a significant interest, including both state and parastatal organisations, or departments within them. These may include environmental and conservation authorities, local government departments, universities and research organisations.
3. Review the list and combine organisations that have similar interests (e.g. different universities).
4. Moving from top to bottom of the list, score each actor on their current level of interest: high (***), medium (**), low (*) or zero ().
5. Repeat this process for the power to influence of each actor, again scoring this as high (***), medium (**), low (*) or zero ().
6. Repeat tasks 2-5 for non-state actors. This broader category may include:
 - Communities located within and/or around the conservation area
 - Indigenous people's organisations
 - Community-based organisations, such as farmers' cooperatives and women's associations
 - Interest groups: groups within communities that have common interests eg women, youth, farmers, forest resource users
 - Marginalised groups: social groups within communities that tend to be excluded from decision making, such as women, ethnic minorities, religious minorities
 - Non-Governmental Organisations, and
 - Private sector organisations
7. Lastly identify which of the key actors within the community are to be consulted for information for the site profile on community rights, positive impacts (benefits) and negative impacts on people.

1.3 Site profile

The site profile summarises information about the site, the key actors, the impact of people on the site, its contribution to the wellbeing of local people, and the choice of governance principles for the assessment. In addition, the site profile includes information about the assessment process.

The site profile is normally developed by the convenor(s) or lead facilitator who gather the information from secondary sources, supplemented with primary sources where necessary, for example using KIIs. Use of primary sources is essential for two principles – respect for rights and benefit sharing – where the SAGE questionnaire must be tailored to the site context by inserting specific examples of rights and benefits (positive social impacts) that are relevant and particularly important to community men and women.

Regarding respect for rights, a fundamental concept in a rights-based approach is that for every right of a rightsholder there is a corresponding duty of one or more “duty-bearers”. There are three types of duty:

- Duty to **respect** a right. This means the duty-bearers have a duty not to infringe or violate the right.
- Duty to **protect** a right. This means the duty-bearers themselves must respect the right and also not allow other actors to infringe or violate the right.
- Duty to **fulfil** a right. This is the duty to go beyond avoiding harm to taking positive action to enable the rightsholder to exercise their right.

A “relevant right” in the context of a PCA governance assessment is one where the duties to ensure people can exercise the right fall, at least partially, on one or more PCA actors. An “important right” is one that makes a substantial contribution to human wellbeing and quality of life. The third criteria for selecting rights that will go into the SAGE questionnaire is the level of challenges being faced by the rightsholders in exercising the right. In summary, the criteria for selecting the two rights for the SAGE questionnaire are relevance, importance, and challenge.

SAGE assesses the degree to which the rightsholders are aware of, and able to exercise, the right, and how the duty-bearers are performing their duties related to the right. So we would not include a right, however important, where the duty to respect, protect or fulfil the right is not a duty of a PCA actor, e.g. improving health services (except in a specific case where a PCA actor has committed to do this).

Annex 1 provides a template for the site profile. This can be used as a checklist for conducting KIIs. As a minimum, we recommend doing three KIIs with men from different community groups and three with women from different community groups, and then one KII for each of the other main actor groups (PCA managers, local government, NGOs, private sector). This will take 1-2 days. These KIIs also provide an opportunity to consult the key actors on the choice of governance principles to be used in the assessment – see the next section.

1.4 Assessment planning

This is the detailed planning for the assessment phase (steps 2.1 to 2.4) which should be done by the convenor(s) and lead facilitator with inputs from the consultations that took place in the previous step. This is the latest point at which the lead facilitator can join the process but, where possible, they should be involved from step 1.1.

For SAGE 8, this planning step includes the selection of the four governance principles to be used in the assessment in addition to the four core principles which are: recognition of actors and their knowledge (2), participation in decision-making (3), transparency and accountability (4) and benefit sharing (8) or negative impact mitigation (7) if there are no significant benefits that are actively allocated. The choice of the four additional principles from the six that are available is based on information from the KIIs in the previous step.

Once the principles have been chosen, the lead facilitator should then address the SAGE questions that are designed to be answered based on a review of documents and, where necessary, KIIs – the “X.1” questions shaded grey in the first table of annex 3. These mainly refer to enabling conditions - policies, laws, regulations, strategies, institutions, and studies on which they are based - which some participants may not be aware of. The fact that they are not aware of them does not mean they don’t exist, but if they respond “don’t know” then this is treated as a missing value and the assessment will have a bias towards the responses of those who do know about them. Therefore, assessment by an impartial facilitator is likely to give a more accurate result. Also, this frees up time for the participatory assessment to focus on issue for which a participatory approach is crucial. See annex 4 for specific guidance for assessing the x.1 questions.

2. Assessment phase

2.1 Facilitator training

This training is for the lead facilitator and assistant facilitators to build their skills to facilitate steps 2.2-2.4. While the lead facilitator should be someone with significant experience in facilitating stakeholder workshops and basic knowledge of governance, the assistant facilitators do not need this and may be people from the local area (e.g. teachers, university graduates, local NGO staff) so long as they are not likely to be biased towards a particular actor. See annex 8 for further guidance on selecting facilitators.

The number of assistant facilitators required will depend on the method used for the assessment – see section 2.2. In addition, we advise having note-takers for each of the two community groups if they will be working in local languages that are different from the language of the questionnaire, and to include these note-takers in this training. Also, in case a facilitator does not show up, this ensures you some reserves.

As part of the SAGE online training, a module has been developed for training facilitators and notetakers. This module comprises seven sessions:

- Introduction to governance, equity, SAGE and training objectives
- Understanding governance
- Overview of the SAGE methodology and each of the steps in a SAGE assessment
- Familiarisation with the SAGE questionnaire and checking the translation
- Completing the SAGE data recording template
- Facilitating the synthesis workshop
- Sharing experience and learning

The SAGE questionnaire is available in English, Spanish and French translations which have been thoroughly checked and validated by native speakers. Where all actor representatives engaged in an assessment can work in one of these three languages, and where there is little need to modify questions and responses, then the facilitator training should take one day at most. If the community members prefer to work in a local language, but the discussion can still be recorded in English, French or Spanish, then the facilitators’ training will need an extra half day to give the facilitators time to discuss and agree a common way to translate difficult words and phrases. However, if the assistant facilitators cannot read English, Spanish or French then it will be necessary to translate the questionnaire into the local language in advance of the facilitators’ training and check this translation line by line during the facilitators training. In this case the facilitators’ training may take up to two full days which could be two one day sessions held a week apart. Two days will also be needed if there is a need to modify/replace a number of questions and responses.

2.2 Assessment by the actors

This step is fundamental to the idea that SAGE is an assessment conducted by the actors themselves which reveals their different opinions on the quality of governance and equity and their ideas for action to address key challenges. As with PA management effectiveness (PAME) assessment, each SAGE question has four possible responses. These four responses are designed to represent, in broad terms, very poor (A), poor (B), good but could still do better (C), and very good (D). However, we avoid using these judgemental

terms and avoid any discussion of scoring in this assessment step. The scoring is introduced in the next step – synthesis - as the way we code the responses (A=0, B=1, C=2, D=3).

Participants doing the assessment choose the response to the question that most closely aligns with their opinion. In addition to selecting their response to each question, the participants are asked to provide:

- **Evidence** to justify their choice of response. This evidence may be a personal observation rather than objectively verifiable facts, for example something observed but not photographed or a conversation with fellow community members that was not recorded, but this is still valuable and can be reviewed and endorsed (or rejected) by others in their group or in the synthesis workshop.
- **Ideas for action** to improve governance and equity. These are actions that might improve performance on the issue in question over the short to medium term (1-3 years). They should be specific enough that other participants will know what will need to be done but not specific activities that could pre-empt a discussion of different ways to achieve the desired improvement.

GOOD EXAMPLE	Share information on job opportunities with local people by electronic means.	
BAD EXAMPLES	Better sharing of information on job opportunities.	Not specific enough so participants may have no idea how this would be done and therefore whether it is practical.
	PCA community officer collects information on job opportunities from employers and delivers this to community leaders to disseminate.	Too specific as there may be better ways to achieve the same outcome, for example announcements at public meetings or electronic means to reach a wider audience.

As described in section II on SAGE variants (page 6), there are two approaches to the assessment – the group method and individual method. The group method is a better option in terms of the quality of the SAGE process since, as with focus groups in general, the interaction of different members of the group brings more ideas to the surface. Also, it helps enable a good understanding of the issues and encourages the contribution of people who are reluctant to speak in plenary, especially with senior officials present.

There are two main reasons why we introduced the individual assessment method even though it is not as good in terms of actor engagement. The first is that where the representatives of the key actors are in full-time employment, and where PCA-related decisions are less significant in terms of their wellbeing, we have found that it just isn't realistic to expect participants to commit two full days to the SAGE process – one for assessment in groups and one for synthesis. The second reason relates specifically to Covid-19 where face-to-face group meetings can be high risk. The individual method avoids this risk. For actors unfamiliar with on-line surveys who may be disadvantaged by such a tool, we propose a traditional survey with the assistant facilitators or other enumerators interviewing a sample of individuals from the various actor groups. The Covid-19 transmission risk, can be mitigated by using face masks and hand sanitizer.

Ideas for action from actor groups and individuals are automatically carried forward into the synthesis workshop and into the assessment report. An important rule of the process, which must be explained to the participants at the start of the session, is that any idea for action can be proposed and should not be challenged by other members on the understanding that all ideas will be reviewed at a planning stage where only those that have broad support, and are feasible, will be considered. This reduces the risk of powerful actors vetoing an idea they don't like. They may be able to do so at the planning stage but at least the planning process can require them to explain their concerns.

Whichever the method, we advise against any audio or video recording. This is not necessary and, in many cultures, can make some people reluctant to express their views. Furthermore, unless all participants are very familiar with virtual meetings (e.g. Zoom) we advise against use of this online technology because people who are unfamiliar with it may be reluctant to speak (i.e. disempowered).

Group method

Based on the results of the actor analysis, representatives of the key actors are invited to a one-day assessment workshop. Since the actor analysis will usually identify more than six different key actors, there will be a need to combine those with similar interests into broader actor groups, e.g.

Group 1	Group 2	Group 3	Group 4	Group 5	Group 6
Conservation (eg PCA) management	NGOs and research organisations	Local government	Private sector	Community men	Community women

Researchers should be combined with the actor group whose perspective is closest to theirs rather than being a stand-alone group since researchers generally have influence through one of the other groups. If there are social and conservation researchers with different very perspectives, they should join different groups, for example social researchers with local government and conservation with PCA management.

If there is a social divide more significant than gender, the community can be subdivided by this other factor e.g. Indigenous peoples and non-indigenous peoples, young and old, or north and south of the PCA. Either way, community representatives should make up at least 40% of the participants in the assessment.

In the first round of SAGE pilots, all of the groups met in the same place on the same day (i.e. at a stakeholder workshop) but it does not have to be this way. For example, the non-community actor groups could meet in town on one day and community representatives from different areas could meet in different locations over the following 1-2 days. Although this lengthens the process a bit, it enables more diversity in community participation and reduces the number of assistant facilitators that will be needed.

1. Place a print-out of the question where all the group members can see it. Read the question and ask the group members to summarise what the question is getting at to make them think about its meaning. If necessary, clarify the meaning with the help of the guidance on each question provided in annex 3.
2. Invite group members to share their opinion on the answer to the question, where possible using some evidence to justify their opinion. For each piece of evidence provided by a group member, ask whether any other member agrees or disagrees with it. If nobody disagrees, or the disagreement can be quickly resolved, record the evidence on a small card or sticker and attach this to the paper alongside the question, or record the evidence directly in the "evidence" space in the data template – see annex 6. If there is a disagreement that cannot be quickly resolved, move on without recording the evidence.
3. Show the members a printout of the four alternative responses to the question (labelled A to D) that have been defined – for example by revealing them on the lower half of the paper with the question. Read these out and ask each member to select the option (A, B, C or D) that is closest to their own opinion. If anyone is struggling to remember four options, break the process into 2 steps, e.g. question 2.3 where the first step separates A from B, C and D, and the second selects one option out of B, C and D.
4. If everyone chooses the same response, write the total number of group members next to that response on the printed sheet or directly into the data template – see annex 6.
5. If group members choose different responses, facilitate a discussion to try to reach consensus. If a member gives some additional evidence to support their opinion, apply the same rules as in #2 to determine whether to record this or not. If after five minutes it seems unlikely that a consensus will be reached, note on the printed sheet/data template the number of members voting for each response.
6. Ask group members if they have any specific ideas for actions by their own group, or another actor group, to improve the situation regarding the question being discussed. Note these ideas on cards/stickers and attach these to the printout or record them in the data template. These should not be debated as this is just a brainstorming to capture possibilities which will be reviewed in step 3.2.
7. Repeat steps 1-6. above for the next question of the principle until all four have been covered.

Before starting the assessment process, there needs to be an introduction to SAGE. It is important that all actor groups get the same SAGE introduction to avoid members being biased one way on the other by different explanations of SAGE and its purpose - see annex 4. Each group then works through each of the four questions for each of the selected principles, starting with a core principle that will be relatively easy and not too controversial. Good time management is essential so that all the principles can be covered by the end of the day – see annex 7. For each principle, the facilitator goes through the following process:

Individual method

Where actor representatives are familiar with online surveys (e.g. SurveyMonkey or Google Forms) then this is a good option. Bear in mind, as with the group method, that the assessment involves not just multiple-choice questions but also providing evidence to support the chosen response and ideas for action, and it must be emphasised that responses that have no supporting evidence of any kind cannot be used. As with the group approach, it is crucial that everyone has a good introduction to SAGE, and that everyone gets the same introduction. A basic way to do this is to include the introduction at the start of the on-line survey. In addition, there is the question-specific guidance outlined in annex 3 which could also be included with each question in the online survey although not all of it will be needed, so be selective.

To complete the SAGE questionnaire in full may take an hour or more, but, from the participants perspective, this is still much less time than the full day required for the group method. Once all interviewees have completed the questionnaire, export the data from the online survey directly into the “group” worksheet of the SAGE data entry template – see annex 6.

Where actors’ representatives do not have experience of on-line surveys or adequate access to internet, then the survey can be done in the traditional way with the assistant facilitators acting as enumerators. The enumerators should enter the data into the “individual” sheets of the SAGE data entry template. This template can be used with an ipad or tablet using the MS Office App and the template will automatically combine all the individual entries into the group sheet. With this approach, we suggest interviewing between 4 and 12 people for each actor group, depending on the number of different actors that have been combined in the group and the likely diversity of opinion. Assuming 4-6 groups this means a total of 30-50 interviews which could be completed by two assistant facilitators in 4-6 days.

As noted earlier, this individual method has one major constraint which makes it generally less effective than the group method. This is the lack of opportunity for different members of an actor group who have different opinions to discuss and reach consensus. In addition to generating an agreed score, such discussions help to reveal additional information and resolve differences based on misunderstandings. Another constraint is the lack of opportunity to check one member’s evidence with other members.

2.3 Synthesis workshop

The SAGE synthesis workshop is where the different opinions of different actor groups are brought together and is fundamental to our concept of multi-stakeholder assessment. It has to be a face to face meeting because it has to be facilitated with major attention to non-verbal signs that are indicative of participants interests and necessary for affirmative action to ensure a balanced discussion. It should be held as soon as possible after step 2.2 – it could even be the next day which may help to reduce the overall cost. But, a delay of up to 3 months is OK so long as the reasons are clear, for example restrictions on public meetings prior to a general election or a ban on face to face meetings due to Covid-19), and participants receive an interim report.

As well as sharing the results of different actor groups, this step generates key *qualitative* information on:

- **Major differences in opinion** – what they are, and if time permits, reasons why they exist. We define “major” as where the difference between the scores of any two actor groups is two or more. Experience suggests this is likely to be the case for no more than 1/3 of the questions.

- **Ideas for action to narrow major differences** – again this is a brainstorming of actions that could be taken by one or more actor groups to narrow any major differences in opinion.

Compared to the discussions in groups in step 2.2 where participants may often have a similar opinion, opinions in this plenary discussion may be very different. Seeking consensus could end up with the views of more powerful actors dominating the process, and so we advise against trying to facilitate consensus results. But where there are genuine differences of opinion it is important to know why, and for improving governance, actions to reduce these differences (e.g. measures to improve communication and transparency) may be as important as actions to increase the average governance/equity score. The participants in the synthesis workshop should be the same people who participated in the groups or survey of individuals in step 2.2, or their representatives where numbers are limited by Covid-19 risk. Additional people may be invited to join the synthesis workshop but only if they are observers (i.e. anyone wanting to be an active participant should also have participated in the individual or group assessment process).

In preparation for the synthesis workshop, the facilitator must do a basic analysis of the data from the assessment (step 2.2) to generate printouts for each actor group of their scores, supporting evidence and ideas for action for each question. This basic analysis is done automatically by the SAGE analysis tool.

The synthesis day starts with the same brief introduction to SAGE and recap of the process to date, a brief overview of the objectives and process of the workshop, and key norms/ground rules of this process:

- Opinions are not right or wrong – differences in opinion are based on difference in the information that actors have and the different knowledge, values, hopes and fears which affect what they make of this information. Actors should respect different opinions even if they don't agree with them.
- One actor group should not challenge the assessment results of another group,
- A group or individual has the right to change a response to a question if they realise that they misunderstood the question and/or responses but not as a result of new evidence that they may have just heard or peer-group pressure.
- Ideas for action should not be challenged by other members since all ideas will be reviewed at a planning stage where only those that have broad support, and are feasible, will be considered.
- The notes of the workshop and assessment report will summarise all key inputs to the discussion but will not name the people who contributed these inputs.

1. Start by presenting the first question that was addressed by the facilitators in step 1.4 of the preparation phase, the response that they selected and the corresponding score. Participants may ask questions for clarification, but they should not question the judgement of the facilitator. Then, for scores of less than 3, invite participants to suggest any ideas for action to improve the situation.
2. Explain that all questions use the same scoring system, i.e. A=0, B=1, C=2, and D=3 – in other words response D is what we might call best practice, while lower scores indicate some room for improvement.
3. Present the first of the four questions assessed by the participants (i.e. X.1). assuming they have hard copies of the questions and responses, present just the scores from each actor group and the mean score, either using a projector or on a pre-prepared flip chart.
4. If all groups have the same scores (or the range is less than 0.5 in the case of average scores) then move to the next question without discussion.
5. If the range of scores across the actor groups is greater than 1.5, ask a spokesperson for the groups with the highest and lowest scores to summarise their supporting evidence. If a group wants to change its score because they misunderstood the question, they can do so. Then wrap up the discussion by inviting all participants to suggest ideas for actions to narrow the difference between scores of different groups.
6. If the range of scores is between 0.5 and 1.5 then it is up to the discretion of the facilitator as to whether to move on without discussion or go through the process described in #5. above. The decision will depend on whether there is enough time and the importance of the issue.
7. Repeat steps #3-6. above for the remaining three questions of the principle.

As with the assessment step, the synthesis takes each principle and then each question in turn, again starting with a principle that is important and not too controversial so that participants get to understand the process before they embark on the more challenging issues. Be sure to pay attention to time management so that all the principles can be covered by the end of the day, bearing in mind that the process will be quicker once participants get used to it. Whether or not you are using a projector to show the results, you will need to be running the SAGE data template and data analysis tool on a computer for editing if a group wants to change its response, for example after clarifying a misunderstanding.

There should be a notetaker to record any adjustments to scores and take notes of discussions, including any major differences in opinion, and any ideas for action to reduce such differences. These will be included in the assessment report – see annex 2. To bring the workshop to closure, present a summary table and graphic showing the average scores for each principle. It is important to emphasise that these averages may hide some very significant differences in the opinions of different actor groups. This could be illustrated with a couple of examples where the differences seem particularly significant, but it is likely that participants will be tired by this time and it will be best to keep the wrap-up short and leave the detail for the assessment report.

2.4 Analysis and basic report

The SAGE data recording template automatically does a basic analysis of quantitative data, generates some basic graphics, and compiles the key qualitative data (supporting evidence, ideas for action). Drawing on this, the first and most important output is a short report that summarise average scores for each principle, key evidence justifying these scores, key differences in opinion where these exist, and ideas for actions to improve governance and equity, and narrow differences in opinion. See annex 2 for an example for the four core principles and some graphics for all eight principles. Other reports in more readable forms can be prepared as needed for different external audiences (step 3.1).

An adjustment for Covid-19 conditions: In a situation where it is possible to do the assessment (step 2.2) but not possible to hold the face to face meeting necessary for the synthesis step (2.3), there may be a gap of several months. As noted in the previous section, this should be OK in terms of the overall SAGE process providing that participants get an explanation of the reasons for the delay and an interim report of the results. This report will be the information that participants would otherwise be reviewing and adding to in the synthesis workshop, ie for each question an analysis of scores, and a compilation of supporting evidence and ideas for action. Furthermore, the additional time available allows for the development of some graphics that illustrate some of the important emerging issues and a narrative to go with these.

3. Taking action phase (optional impact booster)

The following four steps of phase 3 are designed to boost the impact of SAGE at site-level. Without these additional steps, impact on governance and equity tends to take place by ad hoc processes where different actors take on actions that seem particularly useful from their perspective but actions that would benefit from several different actors working together may fail to take off and mutual accountability remain weak.

3.1 Communication of results

The first step in “taking action” is more effective, targeted communication of the SAGE results to the various people who should use them, starting with developing a communication strategy/plan and then support for the implementation of key elements. There are at least three different target audiences:

- **Key actors at site-level who have influence in relevant planning processes**, including PA management planning and planning by others that is relevant to the PCA and related conservation and development activities e.g. local government, NGOs and/or tourism operators.

- **Higher-level decision makers who influence financial and political support for site-level action.** These include senior PCA managers, local government leaders and senior private sector and donor agency staff who are unlikely to attend a full presentation of the assessment results. This report should include key information needed for national level reports and reporting to the CBD.
- **Wider audience of actors at site/local level.** To build wider understanding of the key issues and commitment of actors to proposed actions, it is important to share highlights with site-level actors beyond the participants in the assessment. Written reports are rarely effective on their own so there is a need to be creative, e.g. radio, social media.

3.2 Planning for action

This is a crucial element of the SAGE methodology. As a minimum, this is about feeding the ideas for action to improve governance and equity into already existing planning processes of the key actors, e.g. PCA management planning, the annual planning of Local government, NGOs and private sector actors. Without this, there is a real risk that the effort put into SAGE will be wasted and or even counterproductive if the process designed to improve governance leads to nothing because of poor management or governance.

If existing planning processes are taking place not long after the SAGE assessment and there is interest to consider SAGE results, then working with these existing processes will usually be the best approach. Where this is not the case, or there is enthusiasm to get started on governance actions, we recommend that the convenor and key actors organise a one-day planning workshop within 3 months of the synthesis workshop with two objectives:

- 1 Review the brainstorming list of ideas for action and identify priority actions for the next 6-12 months, where necessary with adjustments to make them more specific, and easy to understand.
- 2 Make a workplan for these priority actions in the format that is generally used in the area, eg specific tasks to be done, when, leading actors and supporting actors, and resource requirements.

So long as the planning workshop focuses on a relatively small number of priorities for the following 6-12 months, it should be possible to complete this planning meeting in one day. The participants should be, as far as possible, the same as for the synthesis workshop. If some of these participants are not senior enough to make commitments for the type of actions to be discussed, then it is important to also invite their superiors who do have the necessary decision-making authority.

3.3 Support for action

Many types of action to improve governance and equity require little or no resources other than the time and commitment of the actors involved, e.g. sharing information, elections, record keeping, or clarifying roles and responsibilities. However, there will be other types of action that will require significant funding and staff time over and above that available for normal operations. Also, where governance challenges relate to sensitive issues or vested interests, there may be a need for political support, technical advice, mentoring and, at times, third-party facilitation or even mediation. Experience with other multi-stakeholder assessments indicates that the impact of SAGE could be much improved if the SAGE convenor(s) can provide support for at least 12 months following the synthesis workshop, in addition to supporting the assessment process itself.

3.4 Monitoring progress

Monitoring is the collection and analysis of information about changes over time with reference to the initial situation (a baseline). There are four basic types of monitoring:

- **Activity monitoring** monitors the extent to which planned activities have been implemented and the quality of the implementation. Measuring progress on activities is simply based on reports of the quantity and quality of the activities implemented, e.g. training events.

- **Output monitoring** monitors the quantity and quality of the immediate results of planned activities. Often called deliverables, these outputs are things that are largely under the control of the actors implementing the activities. Progress (e.g. people trained) should also be captured in activity reports.
- **Outcome monitoring** monitors the actions of the individuals and organisations that are expected to be influenced affected by the activities and their outputs – sometimes called “beneficiary reaction”. This is not under the control of the actors implementing the activities. Progress is usually measured using specific indicators (e.g. something trainees are expected to do once they have been trained).
- **Impact monitoring** measures changes in wellbeing and biodiversity and ecosystem health that are expected to result from one or more outcomes. Because it can take at least five years to see a significant improvement in wellbeing or ecosystem health, impacts are often assessed using “proxies” indicate impact but are more measurable, e.g. income for wellbeing, forest loss for biodiversity loss.

SAGE activity and output monitoring. When you present SAGE results and proposed actions at planning meetings, you should have a brief discussion on the information that these actors could include in their regular (e.g. monthly) reports to show whether and how the activities have been implemented and outputs delivered. Also discuss who will collect and analyse the data and when. This is a basic monitoring plan.

SAGE outcome monitoring. One way to monitor outcomes is to repeat the SAGE assessment but since the actions of the first year are focused on a few priority issues it is better to use a more focused approach. This can be done through developing a few indicators during the planning of an activity and then monitoring these indicators. Another approach that is less prone to bias is to use “outcome harvesting”. The outcome section of a monitoring plan will also include details of where, when and how the outcome information will be collected (means of verification) and analysed.

SAGE impact monitoring. At the level of impact, it is reasonable to assume that better livelihood outcomes resulting from more equitable governance will deliver improved human wellbeing. Far less certain is whether more equitable governance delivers better conservation. Good evidence of this will greatly strengthen the argument for why conservation should invest more in improving governance and equity.

IV. SAGE QUESTIONNAIRE

The first table in annex 3 presents the analytical framework for SAGE – the 10 governance and equity principles (column 1) and a set of five “themes” of each principle (column 2) which describe key aspects of the principle in the context of conservation. These themes have been identified from literature review and empirical research using IIED’s Governance Assessment for Protected Areas (GAPA) methodology which includes additional themes. The SAGE questionnaire comprises one question for each theme. The first theme/question focuses on key information that is necessary for even the most basic level of governance quality. Since the response is based on review of documents, the assessment can be done by the lead facilitator alone, but the other four questions must be addressed by the actors themselves (step 2.2).

The second table in annex 3 includes the alternative responses for each question. In addition, it provides specific guidance for each question, including clarification of key terms. **Be sure to read this carefully.**

The questions in annex 3 have been developed for PCAs. For other contexts of conservation and environmental programming some questions and responses may need to be modified, and in some cases replaced. To ensure consistency in the use of SAGE and interpretation of the results, it is important that any modified or replacement question covers the same theme as the one it is replacing. For example, question 4.2 relates to the theme: *PCA management sharing key information with communities*. This is a good question for PAs in much of the developing world where boundary marking on the ground is poor or non-existent and maps are often inaccurate or not available, but it would not be a good question for the UK where detailed maps showing PCA boundaries are widely available, particularly now that most people have a smartphone with Google Maps. So SAGE users in the UK would need to develop a different question.

Annex 1: SAGE site profile – an example from Zambia

SAGE SITE PROFILE		
Name of the protected/conserved area	Mulobezi Game Management Area (GMA)	
WDPA reference number (if any)	4089	
Habitat/ecosystem types	Savannah habitat. Vegetation types namely, Forest, Woodland, Termite mound and Grassland. Woodland is classified into Miombo, Mopane, Kalahari and Munga.	
Management category	National system	Game Management Area
	IUCN category	VI
Governance type (if defined). In the case of shared governance specify who are the key actors according to relevant policy/law	Shared governance. Key actors in order of level of authority: <ul style="list-style-type: none"> - Government - Department of National Parks and Wildlife - Local communities and their traditional leaders - Local government 	
Area and zones (km ²)	Total area	3430 km ²
	Area of Buffer zone	465 km ²
	Area of Conservation Limited Use zone	2038 km ²
	Area of Exclusive Conservation zone	178 km ²
	Area of Development zone	904 km ²
Key conservation values	Kafue is home to more species of ungulate than any national park south of the Congo Basin including rare species such as the blue and yellow-backed duiker, sitatunga and lechwe Largest population of wild dogs of any park in Africa	
Key threats to conservation of the PCA resulting from the activities of people	Poaching, farming in the conservation zone	
Key rights of local people that relate to the PCA, i.e. where duties to ensure people can exercise the right fall mainly on PCA actors	Right to fish in the GMA conservation zone Right to graze livestock in the buffer zone Right to receive X% of revenues generated by hunting/tourism	
Key positive impacts (benefits) on local people's wellbeing of the PCA and related conservation and development activities	Infrastructure Source of Food Employment	
Key negative impacts (burdens) on local people's wellbeing of the PCA and related conservation and development activities	Injury and death of livestock due to attacks by wildlife Damage to crops caused by wildlife Restricted movements preventing visits to traditional burial sites	
Owners	State	
Managers	Department of Wildlife and National Parks (DWNP)	
Other key actors (from the stakeholder/actor analysis)	District planning, District agriculture department, The Nature Conservancy (TNC), community men, community women, Mulobezi sawmillers, Mulobezi safari hunters, traditional chief, Mulobezi Community Resource Board	
Existing governance structures	Community Resource Board (PCA level) Village Action Groups (village level)	

Governance principles selected for assessment:				
1. Recognition and respect for the rights of all relevant actors				X
2. Recognition and respect for all relevant actors and their knowledge				X
3. Full and effective participation of all relevant actors in decision-making				X
4. Transparency, information sharing and accountability for actions and inactions				X
5. Access to justice including effective dispute resolution processes				
6. Fair and effective law enforcement				X
7. Effective mitigation of negative impacts on communities				X
8. Benefits equitably shared among relevant actors				X
9. Achievement of conservation and other objectives				X
10. Effective coordination and collaboration between actors, sectors and levels				
Dates of the assessment and synthesis steps	07 th and 08 th January, 2020			
Name and gender of lead facilitator	Donald C. Chikumbi (Male)			
Names and gender of assistant facilitators	Sandra Ngoma (Female) and Choolwe Namakobo (Male)			
Method (s) used for the assessment	Working groups			
Method (s) used for the synthesis	Plenary discussion			
Actor groups and their participants	Men < 30yrs	Women < 30	Men > 30yrs	Women > 30
- Staff of organisations managing the PCA			5 (group2)	
- Staff of local government				
- NGOs/CBOs staff		0	4 (group1)	0
- Private sector staff				
- Community representatives (non-IPs)	0	2 (group3)	12 (group 4)	4 (group3)
- Community representatives (IPs)	0	0	0	0

Annex 2: Example of a basic report for the 4 core principles and graphics for 8 principles

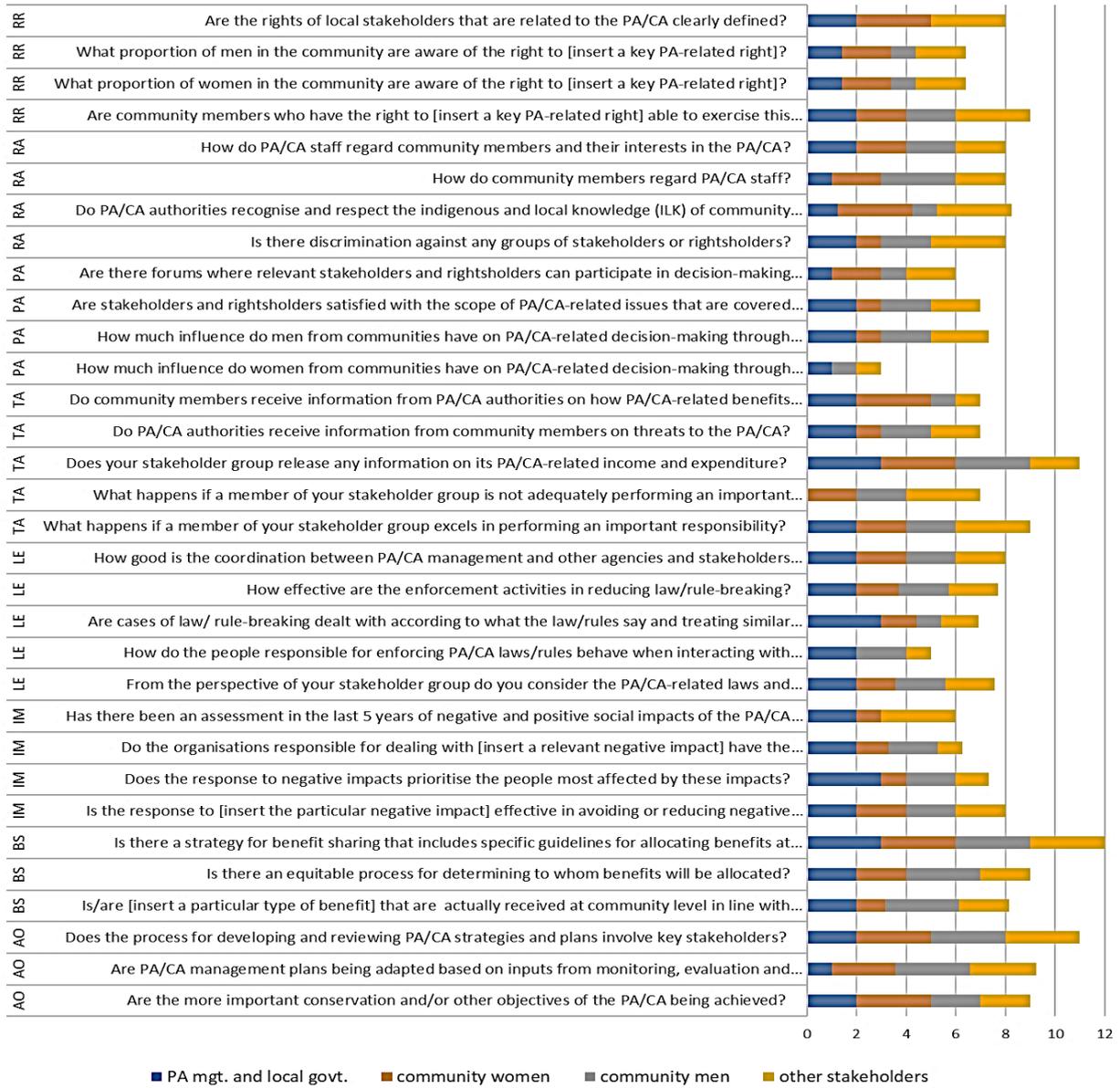
Respect for actors and their knowledge														
Key issues/ reasons for low or high scores.	<ul style="list-style-type: none"> Communities have no sense of ownership of the protected area and its resources Communities have a low opinion of protected area authorities Lack of recognition of Local or Traditional Ecological Knowledge Discrimination against some actors..... 	<p>Respect for actors - mean scores by stakeholder groups</p> <table border="1"> <caption>Respect for actors - mean scores by stakeholder groups</caption> <thead> <tr> <th>Stakeholder Group</th> <th>Mean Score</th> </tr> </thead> <tbody> <tr> <td>PA mgt. and local govt.</td> <td>1.5</td> </tr> <tr> <td>community women</td> <td>2.0</td> </tr> <tr> <td>community men</td> <td>2.0</td> </tr> <tr> <td>other stakeholders</td> <td>2.5</td> </tr> <tr> <td>Mean for all</td> <td>2.0</td> </tr> </tbody> </table>	Stakeholder Group	Mean Score	PA mgt. and local govt.	1.5	community women	2.0	community men	2.0	other stakeholders	2.5	Mean for all	2.0
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community women	2.0													
community men	2.0													
other stakeholders	2.5													
Mean for all	2.0													
Questions with large differences in groups' scores	There is consensus that the attitude of protected area staff to community members is quite good (score 2) but otherwise there are substantial differences, especially on recognition of local knowledge which both community men and government staff scored low.													
Ideas for action to improve	<ul style="list-style-type: none"> Make available all rights (local dialects) all the actors are entitled to Document local/traditional ecological knowledge and institutions and make use of this knowledge in the management and governance practice. Allow access to cultural significant sites. Instil a sense of ownership to change the perception that the resources have been taken away 													
Any other comments	There is a need to recognise that the knowledge, values and institutions of all relevant actors are important, especially for mitigating negative social impacts and threats to the protected area.													

Participation in decision-making														
Key issues/ reasons for low or high scores.	<ul style="list-style-type: none"> Lack of a common forum that involves all actors Unbalanced gender representation in existing forums Some actor's views and concerns are not taken on board Perception that some actors are not important in governance of the protected area Domination of decision-making relating to the protected area by the government 	<p>Participation - mean scores by stakeholder groups</p> <table border="1"> <caption>Participation - mean scores by stakeholder groups</caption> <thead> <tr> <th>Stakeholder Group</th> <th>Mean Score</th> </tr> </thead> <tbody> <tr> <td>PA mgt. and local govt.</td> <td>1.5</td> </tr> <tr> <td>community women</td> <td>1.0</td> </tr> <tr> <td>community men</td> <td>1.5</td> </tr> <tr> <td>other stakeholders</td> <td>1.8</td> </tr> <tr> <td>Mean for all</td> <td>1.5</td> </tr> </tbody> </table>	Stakeholder Group	Mean Score	PA mgt. and local govt.	1.5	community women	1.0	community men	1.5	other stakeholders	1.8	Mean for all	1.5
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PA mgt. and local govt.	1.5													
community women	1.0													
community men	1.5													
other stakeholders	1.8													
Mean for all	1.5													
Questions with large differences in groups' scores	No major differences													
Ideas for action to improve	<ul style="list-style-type: none"> Creation of a common forum for all actors so that all feel relevant and important and for smooth coordination of programs and activities Devise and implement equitable gender representation in various fora Feedback to all actors of decisions made on the governance of the protected area 													
Any other comments	There is need for effective participation of all actors as some actors feel irrelevant as they see others rubber stamping decisions that affect them.													

Transparency and accountability														
Key issues/ reasons for low or high scores.	<ul style="list-style-type: none"> Lack of information flow and dissemination at community (village) level on use of funds Majority of community members are not aware of threats to the protected area Lack of rapport between management agency and ordinary community members Interference from some members of community especially traditional leadership 	<p>Transparency and accountability - mean scores by stakeholder groups</p> <table border="1"> <caption>Transparency and accountability - mean scores by stakeholder groups</caption> <thead> <tr> <th>Stakeholder Group</th> <th>Mean Score</th> </tr> </thead> <tbody> <tr> <td>PA mgt. and local govt.</td> <td>1.8</td> </tr> <tr> <td>community women</td> <td>2.0</td> </tr> <tr> <td>community men</td> <td>2.0</td> </tr> <tr> <td>other stakeholders</td> <td>2.2</td> </tr> <tr> <td>Mean for all</td> <td>2.0</td> </tr> </tbody> </table>	Stakeholder Group	Mean Score	PA mgt. and local govt.	1.8	community women	2.0	community men	2.0	other stakeholders	2.2	Mean for all	2.0
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community women	2.0													
community men	2.0													
other stakeholders	2.2													
Mean for all	2.0													
Questions with large differences in groups' scores	Differences in scores of different actor groups, in particular on what happens when someone is not performing their duties. Government actors gave a score of 0 (nothing happens) while other actors scored from 2-3 indicating that there is sometimes (2) or often (3) a response and improved performance.													
Ideas for action to improve	<ul style="list-style-type: none"> Regular and scheduled meetings for information dissemination especially on use of funds Employment of community auditors Protection of whistle blowers and a specific outline of community obligations 													
Any other comments	There is a consensus to make the flow of information, use of funds and decision-making processes more transparent to engender confidence and trust in the protected area managers.													

Mitigation of negative impacts														
Key issues/ reasons for low or high scores.	<ul style="list-style-type: none"> Inadequate skills, human and other necessary resources (vehicles, field equipment) to cover the large area Lack of regular assessments Responses are sometime biased to certain people 	<p>Impact mitigation - mean scores by stakeholder groups</p> <table border="1"> <caption>Impact mitigation - mean scores by stakeholder groups</caption> <thead> <tr> <th>Stakeholder Group</th> <th>Mean Score</th> </tr> </thead> <tbody> <tr> <td>PA mgt. and local govt.</td> <td>2.2</td> </tr> <tr> <td>community women</td> <td>1.3</td> </tr> <tr> <td>community men</td> <td>1.5</td> </tr> <tr> <td>other stakeholders</td> <td>1.8</td> </tr> <tr> <td>Mean for all</td> <td>1.7</td> </tr> </tbody> </table>	Stakeholder Group	Mean Score	PA mgt. and local govt.	2.2	community women	1.3	community men	1.5	other stakeholders	1.8	Mean for all	1.7
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Questions with large differences in groups' scores	Substantial difference in the scoring, in particular on: <ul style="list-style-type: none"> whether there has been an assessment of benefits and costs – TNC was aware of the study as they were involved in it, but no-one else knew about it whether the PAs response to human-wildlife conflict priorities those most affected. Women in particular feel that this does not happen. 													
Ideas for action to improve	<ul style="list-style-type: none"> Capacity building (Skills upgrade and adequate resources) Regular or scheduled assessments with strong community inputs and making the results of these assessments available to all actors Regular sensitisation, implementing preventive mechanisms and mitigation measures Response needs to be more timely responses and avoid bias 													
Any other comments	Need for approval and implementation of the new General Management Plan (GMP).													

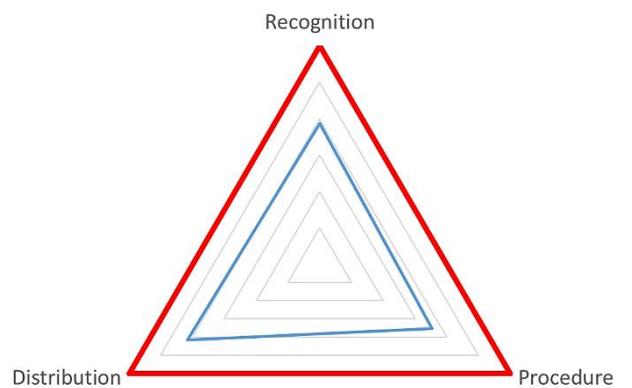
Scores for each question by stakeholder group



Mean versus maximum score for each governance principle



Mean versus maximum score for each equity dimension



Annex 3: SAGE questions, responses and specific guidance

Pple	Themes	SAGE question
Respect for rights	Policies, structures, plans and processes	1.1 Are the PCA-related property rights of local actors clearly defined and documented?
	Community's awareness of an important right – 1 st example	1.2 What proportion of adults in the community are aware of their right to [insert a relevant right]?
	Exercising the right - first example	1.3 What proportion of community adults who have this right can exercise it?
	Community's awareness of an important right – 2 nd example	1.4 What proportion of adults in the community are aware of their right to [insert a relevant right]?
	Exercising the right - second example	1.5 What proportion of community adults who have this right can exercise it?
Respect for actors	Analysis of stakeholders	2.1 What kind of stakeholder/actor analysis already exists?
	One actor's opinion of another actor	2.2 How do people who work for the PCA regard community members and their interests in the PCA?
	One actor's opinion of another actor (inverse)	2.3 How do community members regard people who work for the PCA and the roles that they perform?
	Respect for local and traditional knowledge	2.4 What do people who work for the PCA think of the local and traditional knowledge of communities?
	Bias or discrimination towards an actor	2.5 Is there any bias against any particular group of actors?
Participation in decisions	Policies, structures plans and processes	3.1 Are governance structures and processes for PCA-related decision-making clearly defined and documented?
	Scope of decisions in which actors are involved	3.2 Are people of your actor group involved in any PCA-related decision-making?
	Information needed to effectively contribute	3.3 When people of your actor group attend PCA-related meetings do they have the information they need to contribute?
	Effective representation	3.4 Do the people of your actor group who attend PCA-related meetings share information on the matters discussed?
	Level of influence on decision-making	3.5 How much influence does your actor group have on PCA-related decisions that are important to you?
Transparency accountability	Policies, structures, plans and processes	4.1 Are the PCA-related responsibilities of key actors clearly defined and documented?
	PCA management sharing key information with communities	4.2 What proportion of adults in the community know the location of PCA boundaries in their area?
	Communities sharing key information with PCA management	4.3 If local people know of a threat to the PCA from their community do they report this to [insert name of authority]?
	Response to poor performance of another actor group	4.4 What does your actor group do if concerned about how another actor is performing its PCA-related responsibility?
	Response to poor performance of your own actor group	4.5 What happens if someone in your own actor group performs poorly on an important PCA-related responsibility?
Dispute resolution	Policies, structures, plans and processes	5.1 Are the existing PCA-related dispute resolution processes clearly defined and documented?
	Existence of suitable dispute resolution processes	5.2 How suitable are these dispute resolution processes for resolving disputes related to the PCA?
	Community's awareness of the dispute resolution processes	5.3 What proportion of adults in the community are aware of these dispute resolution processes?
	Community's access to the dispute resolution processes	5.4 What proportion of adults in the community are able to use a dispute resolution process if they want to?
	Success rate of dispute resolution processes	5.5 How often do dispute resolution processes succeed in resolving PCA-related disputes?

Law enforcement	Policies, structures, plans and processes	6.1 Are PCA-related laws and regulations clearly defined and documented?
	Coordination between actors involved in law enforcement	6.2 How good is the coordination between PCA management and other actors who assist with law enforcement?
	Correct and consistent application of the law	6.3 Are incidents of law-breaking dealt with according to what the law says and treating similar cases in the same way?
	Conduct of law enforcement agents	6.4 How is the conduct of people responsible for enforcing PCA laws when interacting with community members?
	Effectiveness of law enforcement activities	6.5 How effective are law enforcement activities in reducing law-breaking?
Negative impacts	Assessment of negative social impacts	7.1 Have there been any recent studies of negative impacts of human wildlife conflict on the wellbeing of local people?
	Awareness of impact mitigation rights and responsibilities	7.2 For human wildlife conflict, do members of your actor group know the responsibilities and rights of different actors?
	Skills and resources needed for impact mitigation	7.3 Do the organisations responsible for dealing with human wildlife conflict have the skills and resources to do the job?
	Timeliness and fairness of impact mitigation responses	7.4 When organisations responsible for human wildlife conflict get a report, is their response timely and fair?
	Effectiveness of impact mitigation responses	7.5 How effective are the responses to human wildlife conflict in reducing the negative impacts on local people?
Benefit sharing	Assessment of positive social impacts	8.1 Have there been any recent studies of positive impacts of the PCA on the wellbeing of local people?
	Decision-making on allocation of benefits – 1 st example	8.2 How and by whom are decisions made on the allocation of [insert a type of benefit] to communities?
	Integrity of benefit sharing implementation – 1 st example	8.3 Is the quality and quantity of [insert a type of benefit] received by communities in line with the decision(s)?
	Decision-making on allocation of benefits – 2 nd example	8.4 How and by whom are decisions made on the allocation of [insert another type of benefit] to communities?
	Integrity of benefit sharing implementation – 2 nd example	8.5 Is the quality and quantity of [insert another type of benefit] received by communities in line with the decision(s)?
Achieving objectives	Policies, structures, plans and processes	9.1 Which actors have their PCA-related activities included in the PCA management plan?
	Involvement of key actors in PCA planning	9.2 Which actors are regularly involved in developing PCA plans?
	Use of local/traditional knowledge in PCA planning	9.3 Does the existing PCA management plan make use of local and traditional knowledge?
	Adaptive management informed by learning	9.4 Have there been changes in PCA management activities in response to learning?
	Achievement of conservation objectives	9.5 Is the objective of [insert an important conservation objective] being achieved?
Coordination collaboration	Policies, structures, plans and processes	10.1 Are the structures and processes for coordination between actors clearly defined and documented?
	Coordination meetings	10.2 What kind of meetings actually take place for coordination between key actors?
	Information sharing between organisations	10.3 How good is information sharing between organisations of key actors at site level?
	Effectiveness of coordination efforts	10.4 How good is coordination of activities between organisations of key actors at site level?
	Alignment of policies and plans	10.5 How good is the alignment of policies and plans between organisations of key actors at lower and higher levels?

	Question	Alternative responses	Specific guidance
1. Respect for rights	1.1 Are PCA-related property rights of local actors clearly defined and documented? 1	A Local actors do not have any PCA related property rights B Some of these property rights are clearly defined and documented but others are not C Most of these property rights are clearly defined and documented. D As above, and anyone who wants to see and review this information is able to do so	A list of the relevant rights should be developed by facilitators in the preparation phase through reviewing documents. Rights are of 3 main types: a) property rights (e.g. rights to own or use land), b) procedural rights, (e.g. right to information) and c) substantive human rights (e.g. right to food). To ensure rights are relevant to as many people as possible it is best to define them in groups of similar rights (e.g. right to access resources) rather than very specific rights. Where the assessment is by survey of individuals the rights to be inserted will be selected by the convenors/facilitators. With the group approach a summary can be given to community participants who then vote on the most important from their perspective. Either way, select two groups of rights which address the interests of different social groups, e.g. 1.2/1.3 could be rights that are more important to men and 1.4/1.5 rights more important for women. Alternatively, Indigenous and non-Indigenous peoples. "Awareness" means knowing but not necessarily understanding. "Obstacles" refers to any factor that makes it hard for rights-holders to exercise their rights.
	1.2 What proportion of adults in the community are aware of their right to [insert a relevant right]? 2	A Very few (less than 25%) B Some (25%-50%) C Many (50-75%) D Most (more than 75%) Leave blank if don't know	
	1.3 What proportion of community adults who have this right can exercise it? 3	A Very few (less than 25%) who have this right can exercise it owing to serious obstacles B Some (25%-50%) who have this right and can exercise it, but many others cannot due to obstacles C Many (50-75%) who have this right and can exercise it, but some cannot due to obstacles D Most (more than 75%) people who have this right can exercise it without facing any significant obstacles Leave blank if don't know	
	1.4 What proportion of adults in the community are aware of their right to [insert a relevant right]? 2	A Very few (less than 25%) B Some (25%-50%) C Many (50-75%) D Most (more than 75%) Leave blank if don't know	
	1.5 What proportion of community adults who have this right can exercise it? 3	A Very few (less than 25%) who have this right can exercise it owing to serious obstacles B Some (25%-50%) who have this right and can exercise it, but many others cannot due to obstacles C Many (50-75%) who have this right and can exercise it, but some cannot due to obstacles D Most (more than 75%) people who have this right can exercise it without facing any significant obstacles Leave blank if don't know	
	2.1 What kind of stakeholder/actor analysis (SA) already exists? 1	A There has been no stakeholder analysis (SA) B SA done but the output does not indicate the relative level of interest of different groups of actors (i.e. just yes/no). C SA done, the output indicates the level of interest of different groups of actors, and no important group is left out D As above AND the analysis of communities separates social groups that have different interests e.g. men and women	We use the term "stakeholder analysis" that (SA) people know but "actor analysis" would be better. SH is done by facilitators in prep. phase based on what already exists before SAGE. If the response is A or B, then the SA must be redone as part of SAGE (step 1.2).
	2.2 How do people who work for the PCA regard	A Most people who work for the PCA do not regard community members as legitimate actors B Most people who work for the PA regard community members as legitimate actors but do not listen to them	Legitimate means "reasonable and acceptable" or "allowed according to law"

	community members and their interests in the PA? 2	<p>C Most people who work for the PA regard community members as legitimate actors and usually listen to them</p> <p>D As above, and they listen to community members with great respect</p> <p>Leave blank if don't know</p>	(Cambridge English Dictionary). In other words, even if not recognised in law, an actor is considered legitimate if this is generally accepted by other actors.
2. Respect for actors	2.3 How do community members regard people who work for the PCA and the roles that they perform? 2	<p>A Community members do not regard the PCA as a legitimate institution</p> <p>B Most community members regard the PCA as legitimate but do not have a good opinion of people who work for it</p> <p>C Most community members regard the PCA as legitimate and have a good opinion of the people who work for it</p> <p>D Most community members regard the PCA as legitimate and have great respect for the people who work for it</p> <p>Leave blank if don't know</p>	The concept of "people who work for the PA" needs to be defined according to the context especially when a number of different actors are involved. It is important that this is clear so that all actors have the same understanding.
	2.4 What do people who work for the PCA think of the local and traditional knowledge of communities? 3	<p>A People working for the PCA are not aware of traditional knowledge on the PCA</p> <p>B People working for the PCA are aware of some traditional knowledge on the PCA but do not take it seriously</p> <p>C People working for the PCA are aware of some traditional knowledge on the PCA and take some of it seriously</p> <p>D People who work for the PCA are aware of a lot of traditional knowledge on the PA and take it very seriously</p> <p>Leave blank if don't know</p>	In this question "traditional knowledge" is understood as including indigenous knowledge.
	2.5 Is there any bias against any particular group of actors? 3	<p>A Bias against some groups of actors is common and often severe</p> <p>B Bias against some groups of actors is quite common and sometimes severe</p> <p>C Bias against some groups of actors is only occasional and is not severe</p> <p>D There is no bias against any groups of actors</p> <p>Leave blank if don't know</p>	In some situations, the word discrimination may be used in place of bias, if appropriate. "Severe" should be interpreted in context but, in general, means excluded or outcast (i.e. the affected minority are considered by the majority as not part of their community).
	3.1 Are the governance structures and processes for decision-making clearly defined and documented? 1	<p>A Structures and processes for PCA related decision-making are not clearly defined and not documented</p> <p>B Structures and processes for PCA related decision-making are known by those involved but not documented</p> <p>C Structures and processes for PCA related decision-making are clearly defined and documented</p> <p>D As above, and anyone who wants to see and review this information is able to do so</p>	To be assessed by facilitators during the preparation phase based on review of documents and KIIs. D means information is available to all on request and in some cases may be on public display (e.g. on a noticeboard, website)
3. Participation in decision-making	3.2 Are people of your actor group involved in any PCA-related decision-making? 1	<p>A No-one from our actor group is involved in PCA-related decision-making</p> <p>B Some of our people are involved in decision-making but only when PCA managers want our contribution</p> <p>C Some of our people are routinely involved in decision-making, but not on all issues that are of interest to us</p> <p>D Some of our people are routinely involved in decision-making on all issues that are of interest to us</p> <p>Leave blank if don't know</p>	Question 3.2 focuses on the term "full" in the participation principle. "Full" in this context means that the actor group is routinely involved when decisions are made, not just when PCA managers decide to invite their contribution. Also, full means involved in decisions on the full range of issues that the actor group has a significant interest in. Q3.3 and 3.4 are on information that people
	3.3 When people of your actor group attend PCA-related meetings, do they have the	<p>A No-one from our actor group attends PCA related meetings</p> <p>B Some people attend PCA related meetings but usually lack information that they need to effectively contribute</p> <p>C Some people attend PCA related meetings and usually have the information they need to effectively contribute</p> <p>D As above <u>and</u> information is provided before the meeting so people attending can consider the issues in advance</p>	

4. Transparency and accountability	information they need to contribute? 2	Leave blank if don't know	representing the actor group need to have, and to share with others, for decision making to be well informed. Question 3.5 focuses on the term "effective" in the participation principle. In this context, "effective" means that the contributions of the actor group have significant influence on the decisions that are being made.
	3.4 Do the people of your actor group who attend PCA-related meetings share information on the matters discussed? 2	A They do not attend any PCA related meetings or attend but do not share any information B They generally share information on the matters discussed, but just with a few other people of our actor group C They generally share information on the matters discussed with many other people of our actor group D As above, and they ask people they share information with to give feedback to guide their input to future meetings Leave blank if don't know	
	3.5 How much influence does your actor group have on PCA-related decisions that are important to you? 3	A We have no influence on any PCA-related decisions B We can sometimes influence these decisions but often we have no influence C We can usually influence these decisions, but there is an actor that has more influence than we do D We can usually influence these decisions and we have as much, or more, influence than other actors Leave blank if don't know	The actor groups should consider the issues that are most important to them when responding to this question (ie management priorities for managers, women's priorities for a women's group, IP priorities for IPs).
	4.1 Are the PCA-related responsibilities of key actors clearly defined and documented? 1	A Responsibilities are not clearly defined and documented B Some responsibilities are clearly defined and documented C Most responsibilities are clearly defined and documented D As above, and anyone who wants to see and review this information is able to do so	To be assessed by the facilitators in preparation phase. Option D means that the information is available to all on request and in some cases may be on public display (e.g. on a noticeboard, website)
	4.2 What proportion of adults in the community know the location of PCA boundaries in their area? 3	A Very few (0-25%) B Some (25%-50%) C Many (50-75%) D Most (more than 75%) Leave blank if don't know	This question looks at effectiveness of PCA related information sharing using awareness of boundaries as an indicator. This is also about clarity of accountability as rights and duties change at the PCA boundary.
	4.3 If local people know of a threat to the PCA from their community do they report this to {insert name of the relevant authority}? 2	A No – they keep quiet B Sometimes it is reported but most times not C Most times it is reported although sometimes not D Almost always reported with very few exceptions Leave blank if don't know	This question focuses on threats that local people are likely to be aware of that come from their own community (which makes this an issue of transparency). It should be a serious threat that communities could be expected to report if transparency is good.
	4.4 What does your actor group do if concerned about how another actor is performing its PCA-related responsibility? 2	A We keep quiet B The issue is discussed privately with the actor in question whose performance is concerning us C The issue is raised and discussed at a meeting of key actors D As #3 above <u>and</u> the issue is raised at a public event (e.g. AGM) where the actor must explain their actions Leave blank if don't know	This question focuses on the processes through which one actor can hold another to account if their performance is poor. Each actor group should respond from their own perspective.

	4.5 What happens if someone in your own actor group is performing poorly on an important PCA-related responsibility? 3	<p>A There is no monitoring of how we perform our responsibilities</p> <p>B Poor performance is usually reported but there is very rarely any improvement in performance</p> <p>C Poor performance is reported and there is sometimes an improvement in performance</p> <p>D Poor performance is reported, and there is often an improvement in performance</p> <p>Leave blank if don't know</p>	This question looks at internal accountability processes within an actor group. Action to improve performance can be disciplinary and/or supportive (e.g. more resources, capacity building). Each actor group should respond from their own perspective.
5. Dispute resolution	5.1 Are the existing PCA-related dispute resolution processes clearly documented? 1	<p>A There are no processes for dispute resolution (DR)</p> <p>B Some of the relevant dispute resolution processes are clearly documented but others are not</p> <p>C Most of the relevant dispute resolution processes are clearly documented</p> <p>D As above, and anyone who wants to see and review this information is able to do so</p>	A list of customary and statutory DR processes is developed by the facilitators in preparation phase based on literature review and KIIs.
	5.2 How suitable are these dispute resolution processes for resolving disputes related to the PCA? 1	<p>A There are no processes for dispute resolution</p> <p>B They are not suitable for solving PCA-related disputes</p> <p>C They are suitable for some PCA-related disputes but not others</p> <p>D They are suitable for most types of PCA related disputes</p> <p>Leave blank if don't know</p>	This is about whether the DR process(es) are of suitable type(s) to address the range of different PCA-related disputes. It is about what they should be able to do in principle, not their success in reality (covered by 5.5).
	5.3 What proportion of adults in the community are aware of these dispute resolution processes? 2	<p>A Very few (less than 25%), or no-one because there are no dispute resolution processes</p> <p>B Some (25-50%)</p> <p>C Many (50-75%)</p> <p>D Most (> 75%)</p> <p>Leave blank if don't know</p>	Question 5.3 and 5.4 look from the community perspective at common barriers facing actors who want to use DR processes. Question 5.3 is about whether they are aware of the processes (i.e. if they know about them). Then question 5.4 looks at whether they are, in reality, able to use the processes. This is about access, which may need money or political support, and then about having the information and skills needed to use them effectively.
	5.4 What proportion of adults in the community are able to use a dispute resolution process if they want to? 2	<p>A Very few (less than 25%), or no-one because there are no dispute resolution processes</p> <p>B Some (25-50%)</p> <p>C Many (50-75%)</p> <p>D Most (more than 75%)</p> <p>Leave blank if don't know</p>	
	5.5 How often do dispute resolution processes succeed in resolving PCA-related disputes? 3	<p>A Almost never as very few people are aware of the processes and are able to use them</p> <p>B Some disputes are resolved (e.g. up to 1/3 of disputes) but most remain unresolved</p> <p>C Most disputes are resolved but often there are some stakeholders who remain dissatisfied</p> <p>D Almost all disputes are resolved and normally all stakeholders in the dispute are satisfied with the outcome</p> <p>Leave blank if don't know</p>	This question looks at the outcomes of DR across all processes that exist. Firstly, whether the dispute is resolved, and secondly if actors are satisfied with the outcome which is key to minimise risk of a recurrence.
6.1 Are PCA-related laws and regulations clearly defined and documented? 1	<p>A PCA-related laws and regulations are not clearly defined and documented</p> <p>B Some PCA-related laws and regulations are clearly defined and documented but there are some important gaps</p> <p>C Most PCA-related laws and regulations are clearly defined and documented with no important gaps</p> <p>D As above, and anyone who wants to see and review this information is able to do so</p>	To be assessed by the facilitators in the preparation phase by looking at what information exists on laws/regulations and what is actually available to different actors.	

6. Rule of law	6.2 How good is the coordination between PCA management and other actors who assist with law enforcement? 2	<p>A There is no coordination</p> <p>B There is some effort to coordinate but this does not work well</p> <p>C Coordination is good but with some occasional problems</p> <p>D Coordination is very good</p> <p>Leave blank if don't know</p>	Coordination on law enforcement may include patrols but could also be assisting PCA management in other ways, e.g. prosecuting offenders. Remember there are PAs with community governance type where the managers are the communities.
	6.3 Are incidents of law-breaking dealt with according to what the law says and treating similar cases in the same way? 2	<p>A Prosecution of law breakers is very arbitrary and often does not follow the law</p> <p>B Some incidents are handled according to the law, but irregularities are common</p> <p>C Most incidents are handled according to the law, but there are occasional irregularities</p> <p>D All incidents are properly handled according to the law</p> <p>Leave blank if don't know</p>	This is about the compliance mechanisms – customary as well as statutory. Terms for “law-breaking” vary from one country to another and may be a sensitive topic. Use the term normally used e.g. violations of the law, illegal activities
	6.4 How is the conduct of people responsible for enforcing PCA laws when interacting with community members? 3	<p>A Their conduct is generally aggressive with frequent cases of inappropriate conduct</p> <p>B Their conduct is generally OK but there is some inappropriate conduct from time to time</p> <p>C Their conduct is generally good and cases of inappropriate conduct are rare</p> <p>D Their conduct is generally very good and there are no cases of inappropriate conduct</p> <p>Leave blank if don't know</p>	This is about the conduct of law enforcement agents when they interact with communities. This reflects concerns, in some countries, around conduct being aggressive, sometime to the point of breaking the law and violating human rights.
	6.5 How effective are law enforcement activities in reducing law-breaking? 3	<p>A There are no law enforcement activities to stop law breaking</p> <p>B Law enforcement activities are partially effective, but law breaking is still common</p> <p>C Law enforcement activities are generally effective but there are still occasional cases of law breaking</p> <p>D Law enforcement activities are very effective and so law breaking is very rare</p> <p>Leave blank if don't know</p>	Although this is normally considered an issue of PCA management rather than governance, it is included here to ensure balance between the two key aspects of the principle, i.e. both the fairness and effectiveness of law enforcement.
7. Mitigation of negative	7.1 Have there been any recent studies of the negative impacts of human-wildlife conflict on the wellbeing of local people? 1	<p>A No studies of negative impacts of human-wildlife conflict (HWC) on the wellbeing of local people</p> <p>B One or more studies of negative impacts of HWC but with no community input on deciding which impacts to study</p> <p>C One or more studies of negative impacts of HWC with substantial community input on which impacts to study</p> <p>D As above, plus the study explored differences in how the different impacts of HWC affect men vs. women</p>	To be determined by the facilitators in the preparation phase. The issue of community input is important as, without this at the start, the people leading the study may overlook or underestimate some important impacts.
	7.2 For human-wildlife conflict, do members of your actor group know the responsibilities and rights of different actors? 2	<p>A We have no idea which organisations are responsible for dealing with human-wildlife conflict</p> <p>B We know which organisations are responsible, but not who should do what, or the rights of people affected</p> <p>C We know which organisations are responsible and who should do what but not the rights of people affected</p> <p>D We are fully informed on both who should do what, and the rights of the people affected</p> <p>Leave blank if don't know</p>	This principle focuses on HWC that harms people and/or their property. It does not cover opportunity costs (e.g. loss of access to PCA resources). If there is no HWC, exclude this principle and its 5 questions. Question 7.2 is about the awareness of

	7.3 Do the organisations responsible for dealing with human-wildlife conflict have the skills and resources to do the job? 2	<p>A There is no organisation that has the responsibility for dealing with human-wildlife conflict</p> <p>B The responsible organisations do not have the skills and resources to do the job at all</p> <p>C The responsible organisations have the skills and resources to deal with some, but not all, important incidents</p> <p>D The responsible organisations have the skills and resources to deal with all the important incidents</p> <p>Leave blank if don't know</p>	different actor groups of the specifics of HWC policies including rights and responsibilities of different actors – legally-binding and any voluntary commitments. Question 7.3 looks at constraints of capacity.
	7.4 When organisations responsible for human-wildlife conflict get a report, is their response timely and fair? 2	<p>A They do not respond, or the response comes too late to reduce the negative impacts on the affected people</p> <p>B The response is sometimes timely, but it does not necessarily prioritise those most people affected by the impacts</p> <p>C The response is generally timely, and they try to prioritise those people who are most affected by the impacts</p> <p>D The response is generally timely, and they make a big effort to prioritise those people most affected by the impacts</p> <p>Leave blank if don't know</p>	In terms of fairness, this question addresses the situation where, if capacity is limited, mitigation efforts may be biased towards more powerful people rather than those most negatively affected. This is equivalent to elite capture of benefits.
	7.5 How effective are the responses to human-wildlife conflict in reducing the negative impacts on local people? 3	<p>A The response is effective for less than 25% of reported cases (i.e. it is largely ineffective)</p> <p>B The response is effective for 25-50% of reported cases</p> <p>C The response is effective for 50-75% of reported cases</p> <p>D The response is effective for >75% (i.e. most) reported cases</p> <p>Leave blank if don't know</p>	This question is looking at the effectiveness of the overall programme of trying to reduce HWC considering the PCA as a whole, not the effectiveness of specific control measures or effectiveness in specific communities.
8. Benefit sharing	8.1 Have there been any recent studies of the positive impacts of the PCA on the wellbeing of local people? 1	<p>A No studies of positive impacts of the PCA on the wellbeing of local people</p> <p>B One or more studies of positive impacts but with no community input on deciding which positive impacts to study</p> <p>C One or more studies of positive impacts with substantial community input on deciding which impacts to study</p> <p>D As above, plus the studies explored differences in how positive and negative impacts affect men versus women</p>	To be determined by the facilitators in the preparation phase. Community input in designing the study is important as, without this, those leading the study may overlook or underestimate some important impacts.
	8.2 How and by whom are decisions made on who receives [insert a type of benefit]? 2	<p>A Decisions on who receives this benefit are made by those managing the benefit with no input from communities</p> <p>B Decisions are made by those managing the benefit in consultation with a few community members</p> <p>C Decisions on who receives this benefit are made by those managing the benefit and community representatives</p> <p>D As above, and ensuring that community representation includes a men and woman and other key social groups</p> <p>Leave blank if don't know</p>	In the preparation phase, the facilitators develop a list and ranking of the more important benefits from the perspective of men and women based on KIIs and/or focus group discussions.
	8.3 Is the quality and quantity of [insert a type of benefit] received by communities in line with the decision(s)? 3	<p>A Benefit has never been received by the intended beneficiaries</p> <p>B Benefit is received by the intended beneficiaries, but quality and/or quantity is much less than what was decided</p> <p>C Benefit is received by the intended beneficiaries, but some aspects of quality/quantity are less than was decided</p> <p>D Benefit is received by the intended beneficiaries and is fully in line, or even better, than what was decided</p> <p>Leave blank if don't know</p>	At the start of the assessment process community men and women vote on the most important PCA-related benefits from this list. Questions 8.3 and 8.4 focus on the men's top priority and questions 8.5 and 8.6

	8.4 How and by whom are decisions made on who receives [insert a type of benefit]? 2	E Decisions on who receives this benefit are made by those managing the benefit with no input from communities F Decisions are made by those managing the benefit in consultation with a few community members G Decisions on who receives this benefit are made by those managing the benefit and community representatives H As above, and ensuring that community representation includes a men and woman and other key social groups Leave blank if don't know	focus on the women's top priority. Questions 8.4 and 8.6 do not cover the reasons for the quantity or quality of benefits being less than was decided but this may well come up in the supporting evidence. Reasons may be poor management but may also include corruption. Corruption takes a variety of different forms including bias in benefit allocation towards powerful elites and their friends, inflated profits by suppliers, and outright theft.
	8.5 Is the quality and quantity of [insert a type of benefit] received by communities in line with the decision(s)? 3	A Benefit has never been received by the intended beneficiaries (i.e. it disappears en route to the community) B Benefit is received by the intended beneficiaries, but quality and/or quantity is much less than what was decided C Benefit is received by the intended beneficiaries, but some aspects of quality/quantity are less than was decided D Benefit is received by the intended beneficiaries and is fully in line, or even better, than what was decided Leave blank if don't know	
9. Achieving objectives	9.1 Which actors have their PCA-related activities included in the PCA management plan? 1	A There is no management plan, or the plan expired more than 2 years ago B The plan only includes the activities of the PCA management C The plan includes activities of PCA management and activities of some other actors but there are some key gaps D The plan includes the activities of all key actors which are related to the PCA	Principle 9 is about the actor engagement in achieving the PCA objectives. Question 9.1 – to be assessed by facilitators – focuses on whether the PCA management plan includes PCA related activities led by other actors alongside those led by the PCA managers
	9.2 Which actors are regularly involved in developing PCA plans? 2	A PCA managers alone B PCA managers and some other actors, but one or more key actors are not included C PCA managers and all key actors but with some of these actors having little influence on the plans D All key actors, and with all key actors being able to have some influence on the plans Leave blank if don't know	Involvement of other actors could be through a consultation process rather than stakeholder workshops. Either way, we seek evidence of them having some influence although how much influence will depend on PCA governance type
	9.3 Does the existing PCA management plan make use of any local and traditional knowledge? 2	A There is no management plan, or a plan exists but does not use any local or traditional knowledge B The management plan has a few examples of using local and traditional knowledge but is largely blind to it C The management plan has many examples of activities that have been informed by local or traditional knowledge D As above, and the plan includes activities that have been mainly inspired/guided by local and traditional knowledge Leave blank if don't know	This focuses on the management plan and the extent to which it makes use of local/traditional knowledge (LTK) of communities. D goes beyond elements of the plan being informed by LTK to elements of the plan being driven by LTK.
	9.4 Have there been changes in PCA management activities in response to learning? 2	A There have been no changes in PCA management in response to learning. B Most learning is not acted upon to improve PCA management. Much more could be done to apply learning C Most learning is being acted upon in some way to improve PCA management D As above, and there are regular meetings to reflect on experience and results and adapt plans as necessary Leave blank if don't know	This question focuses on whether PCA management is being adapted in response to learning. Learning may come from experience or research and monitoring. D represents institutionalisation of learning and adaptive management.
	9.5 Is the objective of [insert an important	A No progress towards achieving this conservation objective B No evidence of progress towards this objective, but the relevant activities are being implemented	If there is a current management plan, then the conservation objective can be taken

	conservation objective] being achieved? 3	<p>C Measurable progress towards this objective in line with the expectations of key actors</p> <p>D Measurable progress towards this significantly exceeds expectations</p> <p>Leave blank if don't know</p>	from this. Facilitators select the objective during the preparation phase in consultation with key actors including communities.
	10.1 Are the structures and processes for coordination between actors clearly defined and documented? 1	<p>A Structures and processes for coordination between actors are not defined and documented</p> <p>B Some structures and processes for coordination between actors are defined and documented</p> <p>C Most responsibilities are clearly defined and documented</p> <p>D As above, and anyone who wants to see and review this information is able to do so</p>	To be assessed by facilitators during the preparation phase based on a literature review and KIIs. This is about mechanisms that should be in place according to policy/law/regulations, not if they actually work.
10. Coordination and collaboration	10.2 What kind of meetings actually take place for coordination between key actors? 1	<p>A. There are no coordination meetings for PCA-related activities of different actors</p> <p>B. There are coordination meetings for PCA-related activities, but they only take place if there is a problem to solve</p> <p>C. There are regular coordination meetings for PCA-related activities, but some key actors do not participate</p> <p>D. There are regular coordination meetings for PCA-related activities and all key actors usually participate</p> <p>Leave blank if don't know</p>	This question focuses on meetings to coordinate the planning and implementation, both of activities that may benefit the PCA and/or its communities <u>and</u> any activities that might cause harm to the PCA and/or its communities.
	10.3 How good is information sharing between organisations of key actors at site level? 2	<p>A. There is little or no sharing of information between actors' organisations at site level.</p> <p>B. Some actor's organisations share some information on their plans and activities, but this is not common</p> <p>C. Most actor's organisations share information on their plans and activities</p> <p>D. As above, and they share information not just on their plans/activities but also on the results</p> <p>Leave blank if don't know</p>	<p>Questions 10.3-10.5 relate to the interaction of organisations of key actors, e.g. PCA management, government sectoral agencies, NGOs, research organisations. "Good information sharing" should include information both on activities and results of these (e.g. progress reports, evaluations). "Coordination" is where actors work together but towards different objectives. Basic coordination is about avoiding negative interactions that undermine the efforts of one or both organisations or waste resources, while effective coordination enables one or both organisations to achieve better results than they would have without coordination. "Collaboration" refers to the situation where the coordinating actors also have one or more common objectives.</p>
	10.4 How good is the coordination of activities between the organisations of key actors at site level? 3	<p>A. Little or no coordination of activities</p> <p>B. Some coordination of activities but with weaknesses leading to waste of resources or conflict</p> <p>C. Effective coordination of activities although the different actors have different objectives</p> <p>D. Effective coordination of activities and the different actors have at least one objective in common</p> <p>Leave blank if don't know</p>	
	10.5 How good is the alignment of policies and plans between organisations of key actors at lower and higher levels? 3	<p>A. Little or no alignment of policies and plans between actors at lower and higher levels</p> <p>B. Some alignment of policies and plans between lower and higher levels but with disconnects/gaps in some key areas</p> <p>C. Good alignment of policies and plans between lower and higher levels but with still some room for improvement</p> <p>D. Very good alignment of policies and plans between lower and higher levels</p> <p>Leave blank if don't know</p>	
	10.5 How good is the alignment of policies and plans between organisations of key actors at lower and higher levels? 3	<p>E. Little or no alignment of policies and plans between actors at lower and higher levels</p> <p>F. Some alignment of policies and plans between lower and higher levels but with disconnects/gaps in some key areas</p> <p>G. Good alignment of policies and plans between lower and higher levels but with still some room for improvement</p> <p>H. Very good alignment of policies and plans between lower and higher levels</p> <p>Leave blank if don't know</p>	

Annex 4: Guidance for facilitators addressing X.1 questions

The “X.1” questions that are addressed by the lead facilitator rather than the assessment participants refer to policies, laws, regulations, structures, processes and studies (PLR/SPS) on which they are based. These are key conditions that many participants may not be aware of – see below. The alternative responses refer to both whether the PLR/SIS exists and aspects of its quality that are key in this context.

1.1 Are the PCA-related property rights of local actors clearly defined and documented?
2.1 What kind of stakeholder/actor analysis already exists?
3.1 Are governance structures and processes for PCA-related decision-making clearly defined and documented?
4.1 Are the PCA-related responsibilities of key actors clearly defined and documented?
5.1 Are the existing PCA-related dispute resolution processes clearly defined and documented?
6.1 Are PCA-related laws and regulations clearly defined and documented?
7.1 Have there been recent studies of negative impacts of human wildlife conflict on the wellbeing of local people?
8.1 Have there been any recent studies of positive impacts of the PCA on the wellbeing of local people?
9.1 Which actors have their APC-related activities included in the PCA management plan?
10.1 Are the structures and processes for coordination between actors clearly defined and documented?

The fact that some actors are not aware of the PLR/SPS does not mean they don’t exist, but if they respond “don’t know” then the assessment will have a bias towards the responses of those who are aware of them which tends to be those in authority. In other words, assessment by the impartial lead facilitator is likely to give a more accurate result.

If the facilitator is to make this assessment the phrase “clearly defined and documented” must be well understood and consistently applied. This phrase comes from the IUCN Green List Standard criteria 1.1: *there are clearly defined, legitimate, equitable, and functional governance arrangements*, and the first generic indicator of this criteria is about these being documented.

In the context of SAGE, we interpret “documented” as meaning that the PLR/SPS are within a document that has been approved by the relevant agency/agencies (i.e. that have authority to approve such a document). However, the criteria “clearly defined” is more difficult to interpret and the interpretation will depend on the issue and the site and its context. Here are some initial thoughts:

- **Clearly defined responsibilities** describe both what the specific responsibilities are and which actors are supposed to fulfil these responsibilities. If they are legally-binding, then the terms “duties” and “duty-bearers” apply in place of “responsibilities” and “responsible actors”.
- **Clearly defined laws and regulations** Include the actual text of the law or regulation and a reference to the relevant documents, and, where the legal language is hard to understand, an explanation in simpler terms.
- **Clearly defined governance structures and processes for decision-making.** Structures refers to the architecture of decision-making – what type of decisions are made when and by whom, including formal committees, informal groups and/or individuals, and linkages between these within and across levels. Processes refers to how the decisions are made, including the actual decision making itself (eg by consensus or otherwise), provision of relevant information to inform decision-making including consultation processes to get input from those actors not directly involved, provisions to help certain actors to more effectively engage (eg funding, training), and how community representatives are selected and communicate with the people they are supposed to represent.

Annex 5: A brief Introduction to SAGE

This brief introduction to SAGE is designed to be used with everyone who is involved in the SAGE assessment so that they have a basic understanding of the purpose of it, and their role in the process. It should be used whenever new people join the SAGE process e.g. for stakeholder/actor analysis, training, assessment and synthesis, and it can also be included in the report of the assessment results with the addition of a little more detail on the different steps in the assessment process.

We provide this standardised introduction to try to ensure that all participants have a similar understanding so as to avoid misunderstandings between different people/organisations, to stimulate their interest to get involved in the assessment, to enhance the credibility of the results, and to motivate people to take action. Also from an ethical perspective it is important that people understand what they are being asked to get involved with, and then have an opportunity to decline to be involved if this is how they feel, and this is a legal obligation where the law requires a process of Free, Prior and Informed Consent.

The text below is what we are proposing should be said as an introduction. Text within square brackets [] are comments for the person reading out the introduction to help them tailor the text to the situation.

SAGE stands for Site-level Assessment of Governance and Equity, and it is designed to be used with protected areas and other areas/sites where there are efforts to conserve biodiversity and the various benefits to people from nature [give examples of benefits relevant to the area/site].

“Governance” refers to how decisions are made, how people with different interests and rights in the area - stakeholders and rightsholders or “actors” for short - may influence these decisions, and how the actors who have authority and responsibilities are held to account. Equity in our context of conservation is about our approach to governance – that governance should be fair as well as effective in achieving its goals.

So the purpose of using an assessment tool like SAGE is to make improvements to the governance and equity of conservation efforts so that they work better for both nature and people, and especially poor/vulnerable people whose wellbeing/quality of life is very dependent on the area. The assessment ends with participants sharing ideas for specific actions that could improve governance and equity.

The report of this assessment will be shared with everyone who has participated in the process and also with [insert names of organisations that will receive the assessment report] so that they better understand the situation and can support relevant ideas for actions as much as possible. The report will not include the names of people who made the different contributions so none of your comments will be linked to you.

This assessment is being organized by [list the convenors]. You are being invited to participate in this assessment process as [describe what they are being invited to do]. In performing this role, we are asking you to {give the option which applies to them}:

- *represent [insert the name of the actor group they will represent], **OR***
- *act as an impartial individual supporting the assessment process, **AND/OR***
- *provide support for follow-up actions to improve governance and equity, **AND/OR***
- *learn from the assessment so as to be able to [insert what they will do with what they learn], **AND/OR***
- *.....*

Do you consent to taking part in the SAGE assessment?

Today we are going to [summarise the programme for the activity you are about to begin]

If you have any questions or concerns at any point during – or after – the SAGE process, you can contact the convenor [share convenor details].

Annex 6: Notes on using the SAGE data entry and analysis template

The SAGE data and analysis template is used to record all key data and information that is generated in the assessment. It also does basic analysis to generate initial results. Some of these results are needed for the synthesis workshop (step 2.2) and, after further analysis in step 2.4, the results are used to write the assessment report.

The template has been developed in MS Excel and is made up of a set of files which are linked so that data in one file automatically transfers to the other files providing that all the files are in the same folder. Do NOT move a file to a different folder or change the file name as the links will no longer work and then the whole template will fail. To ensure that the links will always work, it is good practice to open all the files that you will be using in the assessment when you are using any one of them. The template has different types of files:

SAGE actor groups principles questions and responses.

This file is used to tailor the assessment to the context and needs of the site, and the language used. First you provide the names of the actor groups which are the main clusters of actors that have similar interests, e.g. PA managers, local government, NGOs, community men, community women, private sector, Indigenous peoples, researchers. Since SAGE is limited to a maximum of six actor groups you may need to merge one group with another one that has the most similar interests. See section 2.2 of the SAGE guide.

The second element – the SAGE principles – should not be modified but you should only use eight of the ten principles (and only 4 with SAGE 4). These principles are selected in step 1.4. You should delete the two that you will not use. Simply delete the text. Do NOT delete the row – in fact never delete a row or a column in any file as this can also break the links.

Participation: The questions cover whether there are clear decision-making structures and processes, the extent to which different actor groups are involved in these, whether the people involved have the information they need to be able to effectively contribute, whether they share the information they get from the meetings they attend, and lastly whether they actually have any real influence on decisions that are being made.

The third element is the list of the questions to be used in the questionnaire. There are five questions for every principle which cover different aspects of the principle – see the box for the example of participation. The first question is addressed by the facilitator as it is largely based on facts while the other four are completed by the participants. In step 1.4, questions or responses can be adjusted to tailor the question to the site context. Any further tweaks to clarify the meaning are made in step 2.1.

SAGE data entry template – facilitator

The lead facilitator addresses the first question of every principle (in step 1.4) based on a review of existing documents and key informant interviews. The lead facilitator uses this template to record the responses they choose, and the evidence they find to support these choices. Before starting, be sure to delete any old data that may be in the template from an earlier assessment.

SAGE data entry template – actor group (five copies)

These templates are for the 32 questions that are assessed by the participants – four for each principle. As described in section 2.2 of the SAGE guide, the assessment by participants can be done in 2 different ways. Ideally it is done by each actor group having a one-day meeting. In this case, the data is entered directly into the worksheet labelled “group”, and you will delete the formulas that are there. Alternatively, for the individual method, enter the data into the “individual” sheets – one sheet for every individual – and do not use the group sheet. Each actor group can have up to 10 individuals. These individuals can either complete an online survey based on the sheet or the facilitator can interview them and complete the sheet on a tablet or iPad using the MS office app. You can use the group method with one actor group (e.g. community) and individual method with another (e.g. PA management). The template can accommodate up to 6 actor groups. If there are less than 6 simply delete the unused actor group files, and the unused columns in both sheets of the analysis file. To remove the unused groups from the graphics, click on the graphic, then the icon of a funnel and then under “series” delete the ticks in the boxes marked #REF!.

SAGE analysis tool

This brings together the data from all the sheets listed above and does a basic analysis. The “quantitative” sheet compiles and analyses the assessment scores, calculates the mean scores, and generates basic graphs. The sheet labelled “qualitative” compiles all the supporting evidence and ideas for action. It uses the “concatenate” function which separates entries with a full stop/period. If there is old data from an earlier assessment in the sheet you should not need to delete it as it will disappear when you delete the old data in the data entry templates.

Annex 7: Time management tips for the group assessment method

If you are using a group method in step 2.2. you will find that 32 questions is a lot to get through in one day, but we have seen that this can be done with good time management. The challenge of time management in SAGE is all about balancing three objectives:

1. Being genuinely participatory and high quality from a scientific perspective
2. Covering the wide range of governance issues that are likely to be important at the site and
3. Minimising the time required both for the participants (i.e. cost to participants and the drop-out rate) and the organisers (i.e. minimising the cost of SAGE so that as many sites as possible can use it)

Bearing these factors in mind, we have made a deliberative choice with SAGE that no event should be longer than a day, and this is particularly important at this time of Covid-19.

We suggest the following time limits which total a maximum of 15 minutes per question, but some will take less time, especially as the participants get more familiar with the method.

- A maximum of 8 minutes for clarifying the question, members opinions on the issue and supporting evidence
- A maximum of 4 minutes for agreeing the group's response – in most cases by consensus
- A maximum of 3 minutes for identifying ideas for action

Many of the first 8 SAGE pilots did manage to cover all eight governance principles but some only managed six. Good time management by the facilitators is crucial and here are some tips them to achieve this.

- At the start of the event explain to participants why good time management is crucial (i.e. balancing the three objectives listed above), and therefore that the facilitators will, at times, need to cut short discussions even if they are very interesting and/or controversial. This is actually a normal part of the job of a facilitator so what you are doing here is simply reminding them of this.
- Monitor time carefully so that you will be able to cover all eight principles. Bear in mind that the process moves slowly at the start when it is new to the participants but will speed up.
- When you do need to cut short a discussion be careful to maintain balance between contributions of different people. A facilitator may be reluctant to cut short a powerful person and find it easier to give them time and then cut short someone less powerful but this will bias the process and also lead the less powerful people to lose faith when they see it does not change the prevailing power dynamics. But if it empowers people who normally have little voice this energises the process.
- Address the principles more or less in order of priority from the perspective of the key actors at the site, and the SAGE methodology, i.e. be sure that the principles considered most important by the local actors are covered plus the four core principles of SAGE. See section 1.4.
- Start with an easy and less controversial principle so that the participants see the process working and gain some trust in the process. Never start with rights even though it is at the top on the list of principles as rights are often very controversial and also difficult to assess for people who are not familiar with the idea of rights, and may have no idea what their rights are.
- However tight the timing may be, do not overlook "ideas for action". If SAGE does not identify some practical activities to improve the situation then it will just be another report on the shelf. Identifying ideas for action uses a brainstorming approach that does not allow time for other participants to review the ideas (and powerful people to maybe kill them). The important thing is that people can see some ways forward that seem possible, not, at this stage, to make a firm plan.
- Use note-takers where needed to avoid the assessment process being slowed down by the facilitators themselves having to take notes. This may not be a challenge in some situations, but it is not practical when facilitating a group discussion in a different language from the questionnaire (i.e. having to translate back and forth), and when facilitating a the synthesis workshop. In both situations, a facilitator will need a note-taker.

Annex 8: Selecting SAGE facilitators

A SAGE facilitator's role is to facilitate an assessment of the governance quality of the target PCA and its associated conservation and community development activities. All SAGE facilitators must participate in SAGE training – step 2.1 of the SAGE process.

A SAGE facilitation team comprises a lead facilitator and 2-4 assistant facilitators. The lead facilitator should participate in steps 1.1–2.1 and take the lead in facilitating steps 2.2-2.4. If an experienced SAGE facilitator is leading the process, they can also lead step 2.1 (training of assistant facilitators). Steps 2.1-2.3 normally take 3-5 days excluding travel time, and step 2.4 takes an additional 2-3 days. In total, this is around 10 days.

The assistant facilitators are recruited to assist with steps 2.1-2.3 plus a day for organising, and where necessary cleaning, the outputs from steps 2.2. and 2.3. In total 4-5 days. The number of assistant facilitators required depends on the number of actor groups that are working in parallel in step 2.2. This can be anywhere between 2 and 4 depending on the methods used in step 2.2, and assuming that the lead facilitator takes one actor group.

A lead facilitator should have:

- Experience in facilitating workshops involving a range of stakeholders in an initiative, community meetings and focus group discussions
- At least basic knowledge of principles and practices of good governance
- The authority and experience to be respected by all actors involved in the SAGE process
- Skills in the use of excel worksheets for the basic analysis of SAGE

Assistant facilitators should have:

- Some experience facilitating community meetings or focus group discussions
- Basic computer skills sufficient to type text and numbers into an excel spreadsheet
- Knowledge of the local area is useful but not essential

Assistant facilitators do not need to have experience in facilitation or knowledge of governance. They may therefore be recruited from the local area e.g. staff of local NGOs, schoolteachers.

All facilitators should be:

- Perceived as **independent** by actors at the PCA. They should not be seen as having an interest in the outcomes of the assessment
- Perceived as **trustworthy** by actors at the PCA. They should command the confidence of all the actors to treat their perspectives with respect and accurately record their views
- Fluent in the **language** of the assessment, i.e. in all steps of the assessment, other than step 2.2 where some actor groups may use other languages

The team as a whole should have:

- At least one woman, or at least one third of the team should be female
- At least one member with good knowledge of the local area and key conservation and development activities in the area (to help other team members understand the local context if/when the convenor is not available to do this)

Annex 9: full and effective participation of relevant actors in decision-making

In conservation policy, the phrase “full and effective participation” has a specific meaning. Full participation of an actor group in decision-making means the group is routinely involved in decision-making on the issue in question, i.e. not just when the lead actor (eg PCA manager) decides to ask for their input. Effective participation means that the contributions of the actor group has significant influence on the decisions that are being made. In English the term “meaningful” is sometimes used as an alternative to effective.

Participation can take different forms. At one end of the spectrum there is collective decision-making where each actor has a right to influence decisions (e.g. through membership of the PA Management Board). This is a strong form of participation – both full and effective. At the other end of the spectrum is consultation where the lead actor invites other actors to provide input through a consultation process. Consultation may “full” if it is routine rather than one-off, but it may not be effective as the lead actor can decide whether or not to take account of the input they receive from the consultation. Even where the policy/law requires “full and effective” consultation or stronger forms of participation, the reality of implementation is often little more than a token gesture that is neither full nor effective.

Governance assessment aims to assess the reality of governance rather than rhetoric. This is a challenge with all governance principles but particularly with participation. This is partly because, despite all the talk of stakeholder participation in decision-making, there is often limited understanding of the concept beyond membership of committees, and also because of the political aspects of many decisions.

Before assessing “participation of relevant actors in decision making” we must clarify two key issues:

- a) Who are the ‘relevant actors’? This is determined, in general terms, by the stakeholder/actor analysis that is done at the start of the SAGE process where we identify actors with a medium to high level of interest in the management and conservation of the PCA and any associated activities.
- b) What is the power relationship between different actors supposed to look like according to policy/law? For communities this may be determined by statutory or customary law and for NGOs and private sector by the policies of their organisation. See below for a widely used typology comprising four main “governance types” (from the IUCN “Primer on Governance for Protected and Conserved Areas”).

In the SAGE questionnaire, the first question on participation (3.1) focuses on whether the governance structures and processes of the PCA are clearly defined and documented. Some basic information on these issues is summarised in the site profile.

Question 3.2 focuses on whether participation of that actor group can be considered “full” in the sense of:

The IUCN and CBD distinguish four broad governance types for protected and conserved areas (4, 6, 10) according to the actors who take or took the fundamental decisions about them (e.g. the actors that “established” them and decided their main purpose and management).

The four main governance types are:

- Type A. **governance by government**
(at various levels and possibly combining various agencies)
- Type B. **governance by various rightsholders and stakeholders together**
(shared governance)
- Type C. **governance by private individuals and organizations**
(usually the landholders)
- Type D. **governance by indigenous peoples and/or local communities**
(often referred to as ICCAs)

- a) The actor group is routinely involved in decision-making on the issue in question – not just when the lead actor wants their input. This separates C from B.
- b) The actor group is involved in decisions on the full range of issues that are important to the group – not just on issues where the lead actor wants their input. This separates responses C & D.

Whether the consultation/participation is effective is a different matter which is addressed by question 3.5.

Questions 3.3-3.4 address key issues that apply to any decision-making process. Question 3.3 is on whether the people involved in decision-making (consultation or substantive participation) have the information they need to make informed choices. Question 3.4 is on the role of actor representatives who should a) keep the people they represent – their constituency - informed on the discussion/decisions that they have been involved in, and b) consult with these people to get their views. Whether they do actually represent the views of their constituency or just their own views is a different matter which is harder to objectively assess.

The final question (3.5) focuses on the perception of each actor group on the influence they have over the PCA-related decisions that are important to them, i.e. whether they feel that their contribution to decision-making is “effective”. The question is framed in terms of how often in the course of decision-making on their important issues – never, sometimes or usually - they feel they have influence, and, when they have influence, how they feel their influence compares with the influence of other actors. Each actor group focuses on the decisions that are most important to them. This means that different actor groups may be responding to the questions with different decisions in mind. This is OK if we present the results for what they are - the participation of actors in decisions on issues that are most important to them (and the different issues can be noted in the evidence). To have all actors focusing on the same question would normally make no sense as one actor may have little desire to participate in decisions on the priorities of another. However, at sites where there is one crucial issue that is of great concern to all, questions 3.1-3.5 could be modified to focus specifically on decisions related to this issue.

Question 3.5 can tell us something about the governance type of the PCA from the perspective of different actors since governance type is defined first and foremost by the relative level of authority of different actors. Authority is more than just a matter of decision-making, but decision-making authority can be considered a key indicator of the balance of authority/power. With this approach SAGE should give us information on the governance type in reality (*de facto*), in contrast to what is proscribed in policy (*de jure*). These can be very different. The four responses may be interpreted as follows:

- A. *Government, private or community governance with no effective consultation or participation with other actors*
- B. *Government, private or community governance with effective consultation or participation with other actors although on an ad hoc/non-routine basis (i.e. not “full”)*
- C. *Light shared governance where the actor feels it routinely/generally has influence but there is at least one other actor with more influence (i.e. the lead actor)*
- D. *Shared governance where the actor group feels it routinely/generally has as much influence as other actor groups or more influence (i.e. it is the lead or co-leading actor)*

We are not trying to determine the power balance within the middle ground of shared governance as this would not be realistic with such a crude tool, but we do believe that SAGE can distinguish the four governance types indicated above. That said, in many cases the different actor groups may not agree on the *de facto* governance type, especially if this does not appear to be aligned with the policy. In such cases it is unlikely that the brief discussion of alternative opinions that is feasible in the SAGE synthesis workshop will resolve the matter and so will become an issue “parked” for follow-up discussion.

Organisations pushing for stronger community participation in PCA conservation may assume that if community governance is not an option then shared governance is the next best option, but this is not necessarily the case. Shared governance usually has higher transaction costs – both the actual costs of holding relatively large meetings and the time of those required to participate in the meetings. Where an actor feels that the transaction costs exceed the benefits, shared governance may fail and many efforts to establish shared governance in Africa in the 1990’s failed for this reason, e.g. in the forest protected areas of Uganda and Tanzania. On the other hand, there are viable examples of shared governance in a wide range of countries from France to the Philippines.

Since all parties to the CBD have committed to at least some degree of stakeholder consultation in conservation, SAGE could be used to determine if a PA is meeting this basic global standard (and the Green List standard), i.e. a score from the non-lead actors of at least 1 on question 3.5. At the present time, many PAs are not, but with the post 2020 Global Biodiversity Framework likely to give this a higher profile, a growing number will want to move in this direction and further, and SAGE will help them to do so.

An exception to the notion that there should be a minimal standard of consultation is the case of Indigenous and Community Conserved Areas (ICCAs). Where Indigenous People claim the right to self-determination, they may say that other actors (e.g. government agencies) have no right to influence their internal decision-making. In such cases, although the score for participation of other actors in decision making might be very low, this would not imply room for improvement. In other words, the case of ICCAs and the principle on participation in decision-making is a clear example of where SAGE results must be considered in context. It seems unlikely that the same will be true for other governance and equity principles, but we will see as the use of SAGE expands to a wider variety of different contexts.